

ALABAMA PUBLIC LIBRARY SERVICE  
ADMINISTRATIVE CODE

CHAPTER 520-2-1  
FEDERAL PUBLIC LIBRARY PROGRAMS

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520-2-1-.01 Library Services and Technology Act (LSTA) State-Administered Program.

(1) GENERAL.

(a) The Library Services and Technology Act (LSTA) of 1996 will hereinafter be referred to either by its full name, by the abbreviation "LSTA", or by the word "Act".

(b) The purposes of the Library Services and Technology Act (LSTA) are to:

1. Enhance coordination among Federal programs that relate to library 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 and to enhance and expand the services and resources provided by libraries, including those services and resources relating to workforce development, 21<sup>st</sup> century skills, and digital literacy skills;

6. Enhance the skills of the current library workforce and to recruit future professionals to the field of library and information services;

7. Ensure the preservation of knowledge and library collections in all formats and to enable libraries to serve their communities during disasters;

8. Enhance the role of libraries within the information infrastructure of the United States in order to support research, education, and innovation; and

9. Promote library services that provide users with access to information through national, state, local, regional, and international collaborations and networks.

(c) Use of Funds Within the States. Insofar as it is consistent with the purposes of the Act, the determination of the best uses of the funds provided under the Act shall be reserved to the States in accordance with the State five year plan. In Alabama, development of the five year plan and administration of the funds are the responsibilities of the Alabama Public Library Service (APLS), the official state agency charged with the extension and development of public library services.

(2) ACTIVITIES ALLOWABLE UNDER THE LIBRARY SERVICES AND TECHNOLOGY ACT. Funds may be provided to assist States to:

(a) Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills;

(b) Establish or enhance electronic and other linkages and improved coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services;

(c) 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;

(d) Enhance efforts to recruit future professionals to the field of library and information services;

(e) Develop public and private partnerships with other agencies and community-based organizations;

(f) Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, and to

individuals with limited functional literacy or information skills;

(g) Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved; and

(h) Develop library services that provide all users access to information through local, state, regional, national, and international collaborations and networks;

(3) ADMINISTRATION OF THE STATE PLAN.

(a) Policy Formulation, Planning, Evaluation: The following groups participate in policy formulation, planning, and/or evaluation of the use of LSTA funds:

1. APLS Executive Board.
2. State Advisory Council on Libraries (LSTA Advisory Council).
3. U.S. National Foundation on the Arts and the Humanities, Institute of Museum and Library Services (IMLS).
4. APLS staff, individual librarians, trustees, users, and other library consumer organizations.

(b) Policy Review and Approval Process:

1. Notice of the intent to adopt or revise rules and regulations is announced to the library community through regular APLS communication channels.
2. Draft rules and regulations are presented for formal review to the LSTA Advisory Council and to the APLS Executive Board.
3. Draft rules and regulations, including priorities for funding established by the APLS Executive Board, are submitted to the Administrative Procedures Division of the Legislative Reference Service.
4. The Administrative Procedures Division announces the proposed rules changes in the Administrative Monthly. During the 35-day period following publication of the announcement, the public may submit written comments about the proposed changes. In addition, oral and/or written comments may be made at a public

hearing held during the 35-day period at a date specified in the announcement.

5. The APLS Executive Board will provide final approval of rules and regulations.

(c) Policy Dissemination and Distribution Process:

1. Rules and regulations adopted by the APLS Executive Board are published through regular APLS communication channels.

2. Copies of rules and regulations are furnished to the Chief Officers of State Library Agencies (COSLA) Clearinghouse for dissemination to the library profession.

3. Notice of the publication of rules and regulations is sent to media through regular APLS communication channels.

(d) Program Evaluation: Evaluation of the long-range program is conducted and all activities funded through LSTA are continuously monitored. The procedures for grant application and evaluation include the following:

1. The applicant prepares and submits a formal application, with the help of APLS staff if needed. The proposals are reviewed by APLS staff and evaluated by the LSTA Advisory Council based on established criteria. LSTA Advisory Council recommendations are sent to the APLS Executive Board, which makes the awards.

2. The liaison staff may conduct formal on-site reviews of the projects for evaluation purposes. Their reports will indicate the progress of the project in terms of meeting the library needs stated in the original proposal. Copies of the reports are on file at APLS.

(e) Definitions:

1. Library service means the performance of all activities of a library relating to the collection and organization of library materials and to making the materials and information of a library available to the public.

2. Research library means a library that makes publicly available library services and materials suitable for scholarly research and not otherwise available to the public.

3. Academic library means a library that is an integral part of an institution of higher education.

4. Public elementary school or secondary school library means a library that is an integral part of a public elementary school or secondary school.

5. Public library is a restricted term which means only 1) a library established under the Code of Alabama 1975, sections 11-90-(1-4), and open for regular public service, as determined by APLS, and 2) the one library which has been established as a library district under Legislative Act 88-258, as amended by Legislative Act 2000-358 (the North Shelby County Library). Such libraries have the following common characteristics: they are general purpose, broad-based libraries which serve the educational, informational, and recreational needs of persons of all ages in a community, with collections consisting of materials in many subject areas (both fiction and nonfiction) and in a variety of formats in an effort to meet the library needs of all of the residents. They provide such services free of charge to all residents within their legal service areas, such as a town, city, county, or district, and they receive their financial support in whole or in part from public funds. They are operated by a single legally established policy-making board of trustees. Such libraries may or may not have branch library agencies.

6. Special library means a library which (a) has been established to serve primarily a limited clientele or a clientele with special information needs, with a collection specializing in one subject or a very limited number of related subjects; and (b) is not an integral part of an institution of higher education. A special library may receive its support privately or in whole or in part from public funds. A special library is not a public library (as defined above).

7. Public library system means an organization which is composed of two or more legally established autonomous public libraries eligible to receive state aid. A public library system is characterized by multiple policy-making library boards operating within a framework of written contracts.

8. Interlibrary cooperation means the systematic and effective coordination among public libraries, public elementary school libraries, public secondary school libraries, academic libraries, and research libraries for resource sharing and other programs.

9. Technology enhancement means the acquisition, installation, maintenance, or replacement, of technological equipment (including library bibliographic technological equipment) necessary to provide access to information in electronic and other formats made possible by new information and communications technologies.

10. Grantee means an organization which has received a grant contract from APLS.

(f) Eligible Applicants: The following parties are eligible to apply for grants:

1. Only those public libraries and public library systems eligible to receive state aid in accordance with the *Alabama Administrative Code*, Chapter 520-2-2, may apply for grants, providing that all state aid required documents of the applicant library are on file at APLS and providing that the applicant also meets any additional stipulations of the grant category for which the applicant is applying.

2. Any state-funded department that provides library services to institutionalized persons. The following conditions apply:

(i) Partner with an Alabama public library.

(ii) Each department retains responsibility for provision of public library services within its institutions in accordance with the institution's mission, goals, and objectives.

(iii) Each department and public library partner must have on file at APLS a current five-year plan.

(iv) Within the purposes of the Act, LSTA funds may be used to assist the departments in the improvement of institutional library services. Planning for use of the funds should include public library staff and representatives from the institution, and, where they exist, advisory groups with delineated responsibilities.

(g) Special conditions for "high-risk" grantees (2 CFR 200.207).

1. A grantee may be considered "high-risk" if an awarding agency determines that a grantee:

(i) has a history of unsatisfactory performance, or

(ii) is not financially stable or responsible.

2. If APLS determines that an award will be made, special conditions and/or restrictions shall be included in the award. Special restrictions may include:

(i) requiring additional, more detailed financial reports;

(ii) additional project monitoring;

(iii) requiring the grantee to obtain technical or management assistance; or

(iv) establishing additional prior approvals.

3. If an awarding agency decides to impose such conditions, the awarding official will notify the grantee as early as possible, in writing, of:

- (i) the nature of the special conditions/restrictions;
- (ii) the reason(s) for imposing them;
- (iii) the corrective actions which must be taken before they will be removed and the time allowed for completing the corrective actions and
- (iv) the method of requesting reconsideration of the conditions/restrictions imposed.
- (h) Remedies for noncompliance (2 CFR 200.338).

1. If a grantee fails to comply with any term of an award, whether stated in a federal statute or regulation, an assurance, in a state plan or application, a notice of award, or elsewhere, the awarding agency may take one or more of the following actions, as appropriate in the circumstances:

- (i) temporarily withhold cash payments pending correction of the deficiency by the grantee;
- (ii) disallow all or part of the cost of the activity or action not in compliance;
- (iii) wholly or partly suspend or terminate the current award for the grantee's program;
- (iv) withhold further awards for the program; or
- (v) take other remedies that may be legally available.

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

**History:** Effective July 24, 1998. **Repealed and New Rule:** Filed March 19, 1999; effective July 24, 1998. **Repealed and New Rule:** Filed December 15, 1999; effective January 19, 2000. **Repealed and New Rule:** Filed September 13, 2000; effective October 18, 2000. **Repealed and New Rule:** Filed August 14, 2001; effective September 18, 2001. **Repealed and New Rule:** Filed September 19, 2002; effective October 24, 2002. **Repealed and New Rule:** Filed September 19, 2003; effective October 24, 2003. **Repealed and New Rule:** Filed September 27, 2004; effective November 1, 2004. **Repealed and New Rule:** Filed July 22, 2005; effective August 26, 2005. **Repealed and New Rule:** Filed July 21, 2006; effective August 25, 2006. **Repealed and New Rule:** Filed February 2, 2007; effective March 9, 2007. **Repealed and New Rule:** Filed February

8, 2008; effective March 14, 2008. **Repealed and New Rule:** Filed March 31, 2009; effective May 6, 2009. **Repealed and New Rule:** Filed March 22, 2010; effective April 26, 2010. **Repealed and New Rule:** Filed January 12, 2011; effective February 16, 2011. **Repealed and New Rule:** Filed December 10, 2018; effective January 24, 2019.

**520-2-1-.02 ACTIVITIES ALLOWABLE UNDER THE STATE PLAN.** The following activities are allowable under LSTA:

(1) The following are examples of but not limited to statewide activities administered by APLS and may include partnering with other agencies and organizations:

- (a) Library service education
- (b) Statewide licensing of electronic databases
- (c) Summer library program
- (d) Children-at-risk program
- (e) Collection development
- (f) Regional Library for the Blind and Physically Handicapped
- (g) Technology program (including filtering technology)
- (h) Resource sharing (such as interlibrary loan)
- (i) Technical support to maintain regional and/or statewide electronic infrastructures for public libraries
- (j) Library awareness program
- (k) Program to encourage reading and literacy
- (l) Statewide initiatives
- (m) Library service programs and projects

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

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**520-2-1-.03 Strengthening Communities.**

(1) Program title: **Strengthening Communities.** Grants shall be for: (1) promoting awareness of community services through the local public library and (2) enabling the public library to become a community activity and learning center for persons of all ages.

(a) **Stipulations:**

1. An applicant may apply for only one grant per grant cycle under this program.
2. The maximum LSTA grant is \$20,000.
3. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.
4. Up to 75% of the total project cost may be used for library materials.
5. Funds may be used for equipment, including computers, display shelving, and other equipment to support the purposes of a project. For any project which involves the purchase of equipment or software for an amount per unit of \$5,000 or more, the applicant must submit technical specifications and a justification for use with the project application.
6. Funds may be used for staff training.

7. Funds may be used for mileage expenses at the current state rate not exceeding 10% of the total project cost.

8. Funds may be used for outreach projects for persons who are homebound and for persons located in such places as institutions, hospitals, nursing homes, and senior citizen centers.

9. Funds may be used for programs and services to enable disabled library users to access library resources and services.

9. Funds may be used for supplies and for contractual expenses, including printing, programs, and services.

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

**History:** Effective July 24, 1998. **Repealed and New Rule:** Filed March 19, 1999; effective July 24, 1998. **Repealed and New Rule:** Filed December 15, 1999; effective January 19, 2000. **Repealed and New Rule:** Filed September 13, 2000; effective October 18, 2000. **Repealed and New Rule:** Filed August 14, 2001; effective September 18, 2001. **Repealed and New Rule:** Filed September 19, 2002; effective October 24, 2002. **Repealed and New Rule:** Filed September 19, 2003; effective October 24, 2003. **Repealed and New Rule:** Filed September 27, 2004; effective November 1, 2004. **Repealed and New Rule:** Filed July 22, 2005; effective August 26, 2005. **Repealed and New Rule:** Filed July 21, 2006; effective August 25, 2006. **Repealed and New Rule:** Filed February 2, 2007; effective March 9, 2007. **Repealed and New Rule:** Filed February 8, 2008; effective March 14, 2008. **Repealed and New Rule:** Filed March 31, 2009; effective May 6, 2009. **Repealed and New Rule:** Filed March 22, 2010; effective April 26, 2010. **Repealed and New Rule:** Filed January 12, 2011; effective February 16, 2011. **Repealed and New Rule:** Filed December 10, 2018; effective January 24, 2019.

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**520-2-1-.04 Strengthening Information Services.** The purposes of this grant category are to: (1) promote understanding and respect for or develop resources about diverse cultures, (2) develop outreach services for persons who are unable to come to the library or have difficulty coming to or using the library, (3) provide programs and services for the disabled, (4) provide library materials and programs for the general public, and (5)

provide continuing education and part-time professional training opportunities to public library staff.

(1) Program title: **Collection Development**. Grants shall be for: 1) programs to promote the use of library materials; and 2) books, electronic materials, and sound or video recordings in any area of a collection that is shown to be inadequate in meeting the informational needs of local citizens who are in one or more of the following targeted categories: a) children and youth at risk, b) older adults, c) persons with disadvantages, d) persons who are institutionalized, e) persons with limited literacy or English language skills, and f) persons in under-served areas.

(a) **Stipulations:**

1. In this program title there is a small library development subprogram and a general subprogram:

(i) Small library development subprogram: A public library or public library system with a population in its legal service area of 10,000 or less may apply for one grant under this subprogram if it is applying for \$10,000 or less; or it may apply under the general subprogram for \$10,001 up to \$20,000 but it may not apply under both subprograms.

(ii) General subprogram: A public library or library system with a population in its legal service area of 10,001 or more may apply for one grant under this subprogram for up to \$20,000. A public library or public library system with a population in its legal service area of 10,000 or less may apply under this subprogram for \$10,001 up to \$20,000 but it may not apply under both subprograms

2. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.

3. For the fiscal year in which the grant contract begins, library materials expenditures from regular local government appropriations (excluding special matching appropriations) must be at least equal to the smaller of the following:

(i) The library materials expenditures for the previous fiscal year from funds appropriated by the local government, excluding special government cash expenditures used as match in prior LSTA collection development grants.

(ii) The average of the library materials expenditures for the three previous fiscal years from funds appropriated by the local government, excluding special government cash expenditures used as match in prior LSTA collection development grants.

4. Project funds may be used for the following purposes: 1) programs to promote the use of library materials, 2) library materials, 3) preprocessing expenses, 4) processing packets if these are available from the vendor and billed with the items ordered, and 5) promotional supplies in English and other languages. Up to 25% of the total federal and required local matching funds may be used for programs to promote the use of library materials. Expenses for promotional programs may include display equipment, display shelving, cork board, foam board, posters, professional presenters, and other related items.

5. A public library system with one or more members applying for grants under this program may apply for one grant for materials to be placed only in its books-by-mail collection, bookmobile collection, system-administered public service outlets, or in member libraries which are not applying under this program.

6. The applicant may focus on one or more **specific** areas of the collection that need development. The applicant must explain how the new library materials in these areas will benefit the identified targeted users and how the users will be made aware of the materials.

(2) Program title: **Library Vehicles**. Grants shall be for library service vehicles for the purposes of 1) providing direct services to patrons and/or 2) transporting library materials between library buildings and between other locations at which patrons will be served. The intent is to increase patrons' access to information.

(a) **Stipulations:**

1. An applicant may apply for only one grant for one vehicle per grant cycle under this program; however, a recipient of an award under this program may not apply to replace a vehicle acquired under this program sooner than ten years after the first year of the award for the vehicle. Extenuating circumstances will be considered by the APLS Executive Board for earlier replacement (such as accidental destruction of the vehicle where insurance will not completely cover the cost of a new vehicle).

2. The maximum individual LSTA grant is \$90,000.

3. Required local match must equal 100% of the LSTA grant award and must be in cash.

4. Project funds may be used for the following purposes: 1) the acquisition of bookmobiles, including shelving, handicapped accessibility equipment, air conditioning, other attached equipment or seating, and technology equipment (including computers, wireless computer communication equipment, printers, and pre-developed software); and 2) library service

vans, including redesign, vehicle structural modifications, repainting, installation of shelving, handicapped accessibility equipment, air conditioning, other attached equipment or seating, and technology equipment (including computers, wireless computer communication equipment, printers, and pre-developed software). Technology equipment may be for staff or public use. A mobile computer lab for training the public to use computers and access information may be acquired.

5. Vehicles shall be used primarily for the purposes of 1) providing direct services to patrons and/or 2) transporting library materials between library buildings and between other locations at which patrons will be served.

6. The grant application must include the following information: 1) pictures or drawings of the proposed vehicle; 2) specifications of the vehicle and its equipment; 3) an estimate of the number of years in which the vehicle will remain in service; 4) a description of the direct services to patrons to be provided, if any, including the average number of hours per week that the vehicle will be used for direct service to patrons; 5) a description of the transportation of library materials between library buildings and between other locations at which patrons will be served, if planned; 6) a description of other uses, if any, and the average number of hours per year that the vehicle will be used for these other purposes; 7) a description of the users to be served; and 8) information about the age, mileage, and condition of any existing vehicle to be replaced. The applicant shall also provide any other information that may be required on the application form.

7. Federal and required local matching funds are not allowable for the following costs: 1) vehicles used primarily to transport staff or used primarily for purposes other than providing direct services to users or transporting materials between library buildings and between other locations at which patrons will be served; 2) library materials; 3) supplies; and 5) vehicle maintenance and operating costs.

(3) Program title: **Professional Training Grants**.

(a) **Definition:** To provide improved service in Alabama's public libraries, the APLS Executive Board annually awards grants for study leading to a master's degree from a library school accredited by the American Library Association. These grants are awarded to Alabama public libraries on behalf of current employees. These grants may be awarded only when federal funds are available.

(b) **Stipulations:**

1. In order to be eligible for a professional training grant, the applicant must:

- (i) be a citizen of the United States;
  - (ii) be an employee of an Alabama public library or APLS;
  - (iii) have written approval of his or her library administration and board (on the application form);
  - (iv) agree to continue to work for a minimum of nineteen (19) hours per week in an Alabama public library while completing the program of study.
  - (v) agree, after the degree is conferred, to the following terms:
    - (I) to work for a total of 24 months within a three-year period in a full-time professional librarian position for one or more Alabama public libraries or for APLS, provided that funding and positions are available;
    - (II) in section (I) above, the number of hours per week for full-time employment shall be specified by the individual employer, but in no case shall the number of hours exceed the maximum hours permitted by law.
    - (III) if the recipient works less than 24 months within a three-year period as specified in section (I) above, the recipient shall refund to APLS the amount of education grant funds paid, in proportion to the amount of time remaining on the 24-month commitment.
    - (IV) in the event of extenuating circumstances for reasons other than personal convenience or other employment opportunities, the APLS Executive Board may grant a waiver of this section on a case-by-case basis.
2. Applications must be postmarked by the first official state business day of April. The LSTA Advisory Council will review the applications and forward their recommendations to the APLS Executive Board. The APLS Executive Board will make the final decisions on grants at a subsequent meeting. Grant applicants will be notified of the Board's decision no later than ten business days following the meeting.
3. Application must be made on forms supplied by APLS and must include proof of acceptance at a library school accredited by the American Library Association.
4. A recipient of a grant must agree that copies of grades from courses funded by the grant will be supplied to APLS.
5. Not all courses may be eligible for reimbursement. The student should send a list of potential courses to APLS prior to registering for the term so that a determination can be made

regarding reimbursement. Payment for the courses not eligible for reimbursement will be the responsibility of the student.

6. Each grant is awarded for courses to be taken in only one academic year beginning in the fall after the award has been made, for the fall through the final summer session. For each subsequent academic year, the student must submit a new application and current transcript postmarked by the first official state business day of April. The student must remain in good academic standing for a grant to be reauthorized. Awards are for tuition as well as for fees which may not be waived by the student. All other costs, such as for books, fees that may be waived, insurance and travel are the responsibility of the student. Awards are for the actual tuition and allowable fees, not to exceed the in-state allowable charges of the University of Alabama to attend the School of Library and Information Studies at Tuscaloosa, regardless of the school the student attends. Within any given semester, payments shall be for not more than 9 credit hours. For a shorter session (such as a summer session) payments shall be for not more than 3 credit hours. Total credit hours for which tuition and allowable fees will be awarded shall not exceed 36.

7. Payment of grant funds will be made to the public library employing the grant recipient after successful completion of the term as determined by the educational institution. The public library by contract must agree to disburse the funds to the grant recipient each semester (or equivalent session) for only the actual cost of the tuition and allowable fees for the credit hours as stated in the employee's APLS application, not to exceed the in-state allowable charges of the University of Alabama to attend the School of Library and Information Studies at Tuscaloosa, regardless of the school the student attends.

8. The public library employing a grant recipient must agree to employ the recipient as a full-time professional librarian upon completion of the degree, provided that a funded position for which the graduate is qualified is available, that all state and federal hiring laws and regulations are observed, and that, if hired, the graduate's work performance meets library requirements.

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

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**520-2-1-.05 Strengthening Information Technology.** The purpose of this grant category is to improve library services for users through: 1) updating technological equipment, 2) accessing information through electronic networks, 3) paying the costs for libraries to acquire other technologies to record, save, and retrieve information, and 4) training library staff and users.

(1) Project title: **Digitization of High-Demand Rare Library Materials**. Grants shall be for equipment, software, and contractual services necessary for the conversion of analog images of high-demand rare library materials (including text and pictures) into digital images for free worldwide Internet access.

(a) **Stipulations:**

1. An applicant may apply for only one grant per grant cycle under this program.
2. The maximum LSTA grant is \$15,000.
3. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.
4. Project funds may be used for the following purposes: 1) an image capture device, such as a scanner or digital camera; 2) a computer and pre-developed software to interface with the image capture device; 3) contractual services performed by a dedicated digitization agency external to the grantee to perform the digitization; and 4) staff training to learn how to perform the conversion process.

5. Applicants must comply with all copyright laws. Materials to be digitized must be of such a kind that they may be legally available for free worldwide Internet access.

6. The applicant must explain and use specific and effective methods to make persons aware of, and to encourage their use of, the digitized library materials.

7. Federal and required local matching funds are not allowable for the following costs: 1) software development; 2) supplies; 4) maintenance costs; and 5) other ongoing expenses.

(2) Program title: Library Technology and Automation. Grants shall be for one or more of the following: 1) the acquisition and installation of technological equipment and software necessary to run library system software for collections; 2) staff training to use acquired equipment and software; 3) user training on how to access information electronically; 4) the acquisition and installation of technological equipment and software necessary to mount automated library catalogs on the Internet; 5) the acquisition and installation of technological equipment and software necessary to assist libraries in sending or receiving information through internal and external electronic networks; 6) the acquisition and installation of technological equipment and software necessary to support the training of library staff and users to use electronic information services.

(a) **Stipulations:**

1. In this program title there is a small library development subprogram and a general subprogram:

(i) Small library development subprogram: A public library with a population in its legal service area of 10,000 or less may apply for one grant under this subprogram if it is applying for \$20,000 or less; or it may apply under the general subprogram for \$20,001 up to \$50,000 but it may not apply under both subprograms.

(ii) General subprogram: A public library with a population of in its legal service area of 10,001 or more may apply under this subprogram for up to \$50,000. A public library with a population in its legal service area of 10,000 or less may apply under this subprogram for \$20,001 up to \$50,000. A cooperative library network or a public library system may apply under this subprogram for up to \$150,000.

2. An applicant may apply for only one technology grant per grant cycle, except that a recipient of a two-year award may not apply for a grant for a project which would occur in the same fiscal year in which the second phase of the original two-year project occurs.

3. LSTA support of a Radio Frequency Identification (RFID) project may extend two fiscal years. The following rules shall be applicable for two-year RFID projects:

(i) The award for an RFID project cannot exceed \$90,000.

(ii) A second-year award may not exceed 50% of the first year award and will be awarded only upon the successful completion of the first year phase as determined by APLS and only if LSTA funds are available.

(iii) A complete description of the activities of the first and second year, including cost estimates, must be submitted with the first year's application.

(iv) A supplementary application for the second year must be submitted by a date established by APLS. This application shall include a progress report on the accomplishments during the first-year phase.

(v) A separate RFID application cannot be submitted for at least five years after the completion of a two-year project.

4. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.

5. Project funds may be used for the following purposes:

(i) The acquisition and installation in library buildings, on library property, or in mobile units of communication and electrical wiring necessary for the operation of the hardware and software that enables internal or external hosted library automation applications listed in this section and acquired in the same project;

(ii) The acquisition and installation of technological equipment and pre-developed software for use in library buildings and mobile units, and the acquisition of other items, as follows:

(I) ANSI/NISO Z39.50 compliant library automation software modules: 1) acquisitions, 2) authority control, 3) cataloging, 4) circulation, 5) public access catalog, 6) serials control, and 7) web-accessible catalog.

(II) Infrastructure for use of the above equipment and software: 1) LAN/WAN operating software (pre-developed) for library or inter-library connections, 2) staff and patron training, 3) first-year service charges if the applicant is contracting for internal or external hosted library automation applications provided by a public library system, cooperative

library network, or vendor for the first time, 4) supplies for use with automated systems, including borrowers cards, printer supplies, dumb barcodes, smart barcodes, and radio frequency identification (RFID) tags (Smart barcodes and RFID tags must be purchased with the technological hardware and software or with the contracted internal or external hosted library automation applications specified above, and installation of barcodes and tags is a local responsibility.), and 5) data preparation as follows: a) Internet databases of USMARC records for conversion (for purchase or one-year subscription), b) first-time conversion where shelflist cards or copies of title and verso pages are sent to a company providing conversion services, c) first-time authority control processing by a vendor, and d) conversion of an existing database for loading into a new system when migrating from an old automated system to a new automated system, if such conversion is performed by the system vendor or by a company under contract with, or recommended by, the system vendor, 6) print-management software, and 7) time-management software for limiting use of public access computers to permit equal access by library users.

(III) Computers; upgrades of existing computers; wireless computer communication equipment; scanners; printers; routers; hubs; switches; fax machines; combination copy machines with scanning, fax, or networking features; other similar equipment; and pre-developed software needed to utilize: 1) library automation software modules, 2) LAN/WAN operating system software for library or interlibrary connections, 3) external electronic networks (such as the Internet) for sending or receiving information (such as that available through the Alabama Virtual Library), and 4) other internal resources.

(IV) Self-checkout equipment for checkout of library materials (excluding library materials security equipment which is physically separate from the checkout system, such as detection antennae at exits, or a physically separate device for sensitizing and desensitizing library materials). Security equipment directly connected to PCs, self-check equipment, and/or the local network hardware or software by wireless, cable, etc. (such as RFID) may be paid for with federal funds.

(V) Technological equipment and software necessary to contain and operate internal informational databases and necessary to assist libraries in accessing their own internal informational databases and/or in making those databases available for free worldwide Internet access (while complying with applicable copyright laws).

(VI) Computers, computer projection equipment, and pre-developed software for staff and/or patron training to utilize acquired equipment and software and to access information electronically.

(VII) Staff and/or patron training to utilize acquired equipment and software and to access information electronically.

(VIII) The acquisition and installation of pre-developed filtering software if acquired as part of a larger project which includes the acquisition of equipment and other software eligible under this program.

(IX) The one-time subscription to electronic information services (such as reference and tutoring services) and the one-time acquisition of equipment and software necessary to access these services.

(X) Equipment, software, and contractual services necessary to implement a library website.

(XI) The acquisition and installation of ADA-compliant adaptive equipment to enable library users with special needs to access library resources and services.

(XII) Furnishings, such as workstations, stands, tables, and chairs.

6. A diagram(s) of the proposed overall network configuration (including all locations) showing the existing equipment and the equipment that will be placed by the new project (and equipment that will be placed by any current project or projects) can be submitted with the application. The diagram(s) should include workstations, servers, routers, wiring, telecommunications connections, and any other pertinent information related to the project. The diagram(s) should also include the function of each equipment item, such as electronic reference, public access catalog, or staff cataloging. The diagram(s) is optional and is intended as a supporting document.

7. Federal and required local matching funds for **project-related** furnishings, training, or supplies may not exceed 25% of the total project cost. For any project which involves the purchase of equipment or software for an amount per unit of \$5,000 or more, the applicant must submit technical specifications and a justification for use with the project application.

8. Anti-virus software may be acquired as part of a project when acquiring other eligible software or equipment.

9. Library security equipment which is physically separate from a library materials checkout system, such as detection antennae at exits, or a physically separate device for sensitizing and desensitizing library materials, must be paid for entirely with required local matching funds or other local funds.

Security equipment directly connected to PCs, self-check equipment, and/or the local network hardware or software by wireless, cable, etc. (such as RFID) may be paid for with federal funds.

10. Federal and required local matching funds are **not** allowable for the following costs: 1) software development; 2) ongoing Internet and telecommunications; 3) parts, maintenance, and warranties not included in the initial purchase contract; 4) database conversion or database upgrade when migrating to a new automated system from an old automated system, if such conversion is performed by a vendor not under contract with, or not recommended by, the system vendor; 5) contractual services for in-house retrospective conversion procedures (including inventorying and cataloging); 6) copying title and verso pages; 7) plain photocopy machines without networking, scanning, or fax features; and 8) security strips for insertion into library materials.

11. Library system software acquired must support USMARC cataloging.

(4) Program title: **Micrographic Equipment**. Grants shall be for increasing access to library materials through the acquisition of equipment to enable users to read microforms and produce paper copies of microform images.

(a) **Stipulations:**

1. An applicant may apply for only one grant per grant cycle under this program.

2. The maximum LSTA grant is \$5,000.

3. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.

4. Project funds may be used for the acquisition and installation of equipment in one or more of the following configurations:

(i) Microform readers.

(ii) Microform reader/printers.

(iii) Microform reader/scanners and pre-developed software from the vendor for digitally transmitting microform images to a personal computer, or computer network, and then to a printer.

(iv) Special lens systems and special attachments for using all microform types (including roll film and microfiche)

may be acquired as part of the equipment listed in sections (i), (ii), and (iii) above.

5. All equipment purchased must be located in the library and available for use by staff and patrons when the library is open.

6. Federal and required local matching funds are not allowable for the following costs: 1) separate printers, 2) supplies, 3) maintenance costs, 4) software not from the vendor, and 5) other ongoing expenses.

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

**History:** Effective July 24, 1998. **Repealed and New Rule:** Filed March 19, 1999; effective July 24, 1998. **Repealed and New Rule:** Filed December 15, 1999; effective January 19, 2000. **Repealed and New Rule:** Filed September 13, 2000; effective October 18, 2000. **Repealed and New Rule:** Filed August 14, 2001; effective September 18, 2001. **Repealed and New Rule:** Filed September 19, 2002; effective October 24, 2002. **Repealed and New Rule:** Filed September 19, 2003; effective October 24, 2003. **Repealed and New Rule:** Filed September 27, 2004; effective November 1, 2004. **Repealed and New Rule:** Filed July 22, 2005; effective August 26, 2005. **Repealed and New Rule:** Filed July 21, 2006; effective August 25, 2006. **Repealed and New Rule:** Filed February 2, 2007; effective March 9, 2007. **Repealed and New Rule:** Filed February 8, 2008; effective March 14, 2008. **Repealed and New Rule:** Filed March 31, 2009; effective May 6, 2009. **Repealed and New Rule:** Filed March 22, 2010; effective April 26, 2010. **Repealed and New Rule:** Filed January 12, 2011; effective February 16, 2011. **Repealed and New Rule:** Filed December 10, 2018; effective January 24, 2019.

**Ed. Note:** Rule 520-2-1-.05 was renumbered to 520-2-1-.06 as per certification filed February 2, 2007; effective March 9, 2007. Rule 520-2-1-.06 was renumbered to 520-2-1-.05 as per certification filed February 9, 2008.

**520-2-1-.06 Strengthening Youth and Family.** The purpose of this program is to target library and information services (1) to youth (from birth through 17) in underserved urban and rural communities, including youth from families with incomes below the poverty line, and (2) to the parents and care-givers to improve their child-caring knowledge and skills.

(1) Project title: **Strengthening Youth and Family.** Grants shall be for programs and services for children and youth at risk to support their educational and recreational needs and to fund family literacy programs. These programs and services may include the development of partnerships with other

organizations providing services for children such as schools, pre-schools, youth detention centers, youth courts, housing authorities, community service agencies, and child-care centers.

(a) **Stipulations:**

1. In this program title there is one small library development subprogram and one general subprogram:

(i) Small library development subprogram: A public library with a population in its legal service area of 10,000 or less may apply for one grant under this subprogram if it is applying for \$10,000 or less; or it may apply under the general subprogram for \$10,001 up to \$20,000 but it may not apply under both subprograms.

(ii) General subprogram: A public library with a population in its legal service area of 10,001 or more may apply under this subprogram for up to \$20,000. A public library with a population in its legal service area of 10,000 or less may apply under this subprogram for \$10,001 up to \$20,000 but it may not apply under both subprograms.

2. An applicant may apply for only one grant per grant cycle under this program.

3. Required local match must equal 25% of the LSTA grant award. Up to 25% of the required local match may come from project personnel salaries.

4. Up to 75% of the total project cost may be used for library materials.

5. Programs may take place at the library or at other sites (i.e. community centers and other recreational facilities, day care centers, bookmobiles, juvenile facilities, group homes, and juvenile mental health/mental retardation institutions). Purchase of appropriate materials to support proactive service programs may be included in grants.

6. Project funds may be used for the following purposes: 1) program activities, 2) staff training, and 3) mileage for staff at the current state rate not exceeding 10% of the total project cost.

7. Reading incentives and prizes (i.e. book bags, t-shirts, toys, etc.) must be purchased with local funds.

**Author:** Nancy C. Pack, Director

**Statutory Authority:** Code of Ala. 1975, §§41-8-(1-10). Title 20, U.S. Code, §§9121-9163, Museum and Library Services Act of 1996.

**History:** Effective July 24, 1998. **Repealed and New Rule:** Filed March 19, 1999; effective July 24, 1998. **Repealed and New Rule:**

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