

APPLICATION DEADLINE:  
June 30, 2012

---

For more information, call  
IMLS: 202-653-4678 or visit  
<http://www.ims.gov>

# **FIVE-YEAR STATE PLAN GUIDELINES FOR STATE LIBRARY ADMINISTRATIVE AGENCIES 2013-2017**

## **INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

Burden Estimate and  
Request for Public  
Comments

In accordance with 5 C.F.R. § 1320.5(b)(2)(1), “persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.”

Public reporting burden for this collection of information is estimated to average ninety hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to:

Institute of Museum and Library Services  
State Programs  
1800 M Street NW, 9<sup>th</sup> Floor  
Washington, DC 20036-5802

and to the Office of Management and Budget Paperwork Reduction Project (3137-0034), Washington, DC 20503.

TDD (for persons with hearing difficulty): (202) 653-4614. Upon request, the Institute will provide an audio recording of this publication.

OMB No. 3137-0029; Expiration Date 8/31/2013

**FIVE-YEAR STATE PLAN GUIDELINES  
For State Library Administrative Agencies  
Fiscal Years 2013-2017**

<b>APPLICATION DEADLINE: June 30, 2012</b>
--

What is IMLS?           The Institute of Museum and Library Services (IMLS) is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. The Institute works at the national level and in coordination with state and local organizations to sustain heritage, culture, and knowledge; enhance learning and innovation; and support professional development.

What is the State Grant Program?           The Grants to States Program is the largest grant program administered by IMLS. Through this program, IMLS provides financial assistance to develop library services throughout the States, U.S. Territories, and the Freely Associated States. IMLS funds support programs that promote literacy and education; enhance and expand the services and resources provided by all types of libraries; enhance the skills of the current and future library workforce and leadership; develop public-private partnerships with other agencies and community-based organizations; and target library services to individuals with diverse geographic, cultural and socio-economic backgrounds, individuals with disabilities, and individuals from other underserved communities. The Program recognizes the increasing importance of information technology by emphasizing programs that teach digital literacy skills; develop library services that provide all users with access to information through local, State, regional, national, and international collaborations and networks; and establish or enhance electronic and other linkages among and between libraries and other entities.

Each State is responsible for leveraging non-Federal, State, and local funds to match the Federal funds it receives. 20 U.S.C. § 9133(b). In addition, each State must sustain a "Maintenance of Effort" level of State spending on libraries and library programs to ensure that Federal funds do not replace State funds in supporting State-based programs. 20 U.S.C. § 9133(c).

Who is Eligible?           The fifty-nine established State Library Administrative Agencies may apply for State Program grants.

What is an SLAA?	A State Library Administrative Agency (“SLAA”) is the official agency of a State charged by law with the extension and development of public library services throughout the State. 20 U.S.C. § 9122(4).
How to Apply?	To receive funds under the Grants to States program, each SLAA must submit to the Director of IMLS a State Plan detailing certain goals, assurances, and procedures for a five-year period. 20 U.S.C. § 9134(a).
What is a State Plan?	A State Plan is a document that identifies a State’s library needs, sets forth the activities to be taken toward meeting the identified needs supported with the assistance of Federal funds made available under the Library Services and Technology Act (“LSTA”), and provides assurances that the officially designated SLAA has the fiscal and legal authority and capability to administer all aspects of any award under the Grants for States Program. 20 U.S.C. § 9122(5). The State Plan must also provide assurances for establishing the State’s policies, priorities, criteria and procedures necessary to the implementation of all programs under the LSTA. 20 U.S.C. § 9122(5).

## WHAT TO INCLUDE IN THE STATE PLAN

Mission Statement:	The State Plan should include a mission statement that specifies the type of services the SLAA provides, for what purposes, for whom, and how the SLAA provides the services.
Needs Assessment:	The State Plan must identify specific needs for library services to be addressed in the pertinent five-year period. 20 U.S.C. § 9134(a)(1). This needs assessment should be based on the SLAA’s most recent five-year evaluation, complementary data, and advisory input. The SLAA should describe its data sources and the processes used to document the State’s needs, the audiences to whom the data sources apply, the methods used for data analysis, and the expected process for periodically updating the State’s knowledge of its library services needs.
Goals:	Each goal for the five-year period should address at least one need identified in the needs assessment. 20 U.S.C. § 9134(a)(1). These goals must be prioritized and the criteria for prioritization should be explained. 20 U.S.C. § 9134(b)(1). Additionally, all goals must address needs congruent with the purposes of the LSTA as stated in 20 U.S.C. § 9121(1-9) through activities that:

- 1) expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, lifelong learning, workforce development, and digital literacy skills;
- 2) establish or enhance electronic and other linkages and improve 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 to the field of library and information services;
- 4) develop public and private partnerships with other agencies and community-based organizations;
- 5) target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, 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 42 U.S.C. § 9902(2)) 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 SLAA's plan. 20 U.S.C. § 9141(a)(1-8).

Programs  
(Activities):

The narrative for each goal must describe its supporting programs, and explain what will be done, for whom; which procedures will be used to carry out associated activities; what benefit or outcome is expected; and how the SLAA will use federal funds to assist in

meeting these goals. 20 U.S.C. § 9134(b)(2). A timeline should be provided for each goal and for each year, showing when program activities will take place.

- Coordination Efforts: Where appropriate, the State Plan must describe how the SLAA will work with other State agencies and offices to coordinate resources, programs, and activities and leverage, but not replace, the Federal and State investment in elementary and secondary education; early childhood education; workforce development; and other federal programs and activities that relate to library services. 20 U.S.C § 9134(b)(6).<sup>1</sup>
- Evaluation Plan: The State Plan must include an evaluation plan that describes the methodology that will be used to evaluate the success of activities established in the State Plan. 20 U.S.C. § 9134(b)(4). SLAAs should review the current evaluation guidance available on the IMLS Extranet: <http://stateprograms.imls.gov>.
- Stakeholder Involvement: Stakeholder involvement, communication, and monitoring are essential elements of a State Plan and must be integrated into it. SLAAs must describe the procedures that will be used to involve libraries and library users throughout the State in policy decisions regarding the development, implementation, and evaluation of the State Plan. 20 U.S.C. § 9134(b)(5). Each SLAA seeking assistance under the Grants to States Programs may establish a State advisory council that is broadly representative of the library entities in the State, including public, school, academic, special, and institutional libraries, and libraries serving individuals with disabilities. 20 U.S.C. § 9151.
- Communication and Public Availability: SLAAs must describe the channels that will be used to communicate to stakeholders the content of the State Plan and any results, products, processes, or benefits. Each SLAA receiving a grant must make the State Plan readily available to the public and share it with the library community. 20 U.S.C. § 9134(e)(2).

---

<sup>1</sup> 20 U.S.C. § 9134(b)(6) provides as follows: The State Plan shall describe how the State Library Administrative Agency will work with other State agencies and offices where appropriate to coordinate resources, programs, and activities and leverage, but not replace, the Federal and State investment in—

- (A) elementary and secondary education, including coordination with the activities within the State that are supported by a grant under 20 U.S.C. § 6383;
- (B) early childhood education, including coordination with—
  - (i) the State's activities carried out under subsections (b)(4) and (e)(1) of 20 U.S.C. § 9837; and
  - (ii) the activities described in the State's strategic plan in accordance with 42 U.S.C. § 9837b(a)(4)(B)(i);
- (C) workforce development, including coordination with—
  - (i) the activities carried out by the State workforce investment board under 29 U.S.C. § 2821(d); and
  - (ii) the State's one-stop delivery system established under 29 U.S.C. § 2864(c) of Title 29; and
- (D) other Federal programs and activities that relate to library services, including economic and community development and health information.

Monitoring: SLAAs must describe the procedures for continuous tracking of current performance in relation to the State Plan. 45 C.F.R. part 1183.40.

Assurances: The following are the required certifications and assurances:

- Program Assurances for 2013 Grant Award (includes Internet Safety Assurance and compliance with the Trafficking in Persons requirement)
- Certifications Regarding: Nondiscrimination; Debarment and Suspension; Drug-Free Workplace; Federal Debt Status; and Lobbying
- Assurances of Non-Construction Programs
- State Legal Officer's Certification of Authorized Certifying Official
- Reporting Sub-awards and Executive Compensation
- Internet Safety Certification for Applicant Public Libraries, Public Elementary and Secondary School Libraries, and Consortia with Public and/or Public School Libraries

## **APPROVAL PROCESS**

IMLS will approve a State Plan that meets the requirements of the LSTA as set out in these guidelines, and provides satisfactory assurances and certifications that the provisions of the State Plan will be carried out. Once IMLS approves a State Plan, a letter will be sent to the applicant stating that the State Plan has been approved.

If IMLS determines that the State Plan does not meet the requirements of the LSTA, then, pursuant to 20 U.S.C. § 9134(e)(3), IMLS will:

- Notify the SLAA of such determination and the reasons for such determination;
- Offer the SLAA the opportunity to revise its State Plan;
- Provide technical assistance in order to assist the SLAA in meeting the requirements of § 9134(e)(3); and
- Provide the SLAA the opportunity for a hearing.

## OTHER STATUTORY AND ADMINISTRATIVE REQUIREMENTS

States are obligated to comply with the LSTA, which is set forth at 20 U.S.C. § 9121 *et seq.*, and all accompanying program requirements including, among others:

**Administrative Costs and Program Activities:** Not more than 4 percent (4%) of the total amount of funds received through the Grants for States Program for any fiscal year by a State may be used for administrative costs. 20 U.S.C. § 9132(a). The State library administrative agency must expend, either directly or through subgrants or cooperative agreements, at least ninety-six percent (96%) of the funds for program activities. 20 U.S.C. § 9141(a).

**Matching Funds:** The Federal share of the cost of the activities described in the State plan shall be 66 percent. 20 U.S.C. § 9133(a). The non-Federal share of payments shall be provided from non-Federal, State, or local sources (34 percent). 20 U.S.C. § 9133(b).

**Maintenance of Effort:** States are subject to a Maintenance of Effort (MOE) requirement set forth in 20 U.S.C. § 9133(c). Under this provision, IMLS is required to reduce the funding otherwise payable to a State if the State fails to show a continued effort to fund its libraries over time. This ensures that Federal assistance results in an increase in the level of library activity and that a State does not replace State dollars with Federal dollars.

For purposes of considering the Maintenance of Effort, the level of State expenditures shall include all State dollars expended by the SLAA for library programs that are consistent with the purposes stated in 20 U.S.C. § 9121(1-9). All funds included in the Maintenance of Effort calculation under this subsection shall be expended during the fiscal year for which the determination is made, and shall not include capital expenditures, special one-time project costs, or similar windfalls. 20 U.S.C. § 1933(c).

**Annual Report:** Each year, the SLAA must submit an Annual Report on LSTA-funded activities showing progress towards meeting the goals of the State Plan. The Annual Report is due 90 days after the end of the grant year (September 30). 45 C.F.R. § 1183.40(b)(1). The SLAA should submit this Report online using the State Program Report ("SPR"). Access to and instructions for completing the SPR are provided on the IMLS Extranet: <http://stateprograms.imls.gov>.

**Revisions:** If, after the State Plan has been accepted, the SLAA would like to make a substantive revision, then the revision must be submitted to

IMLS as an amendment to the Plan. Such revisions are due not later than April 1 of the fiscal year preceding the fiscal year for which the amendment shall be effective. 20 U.S.C. § 9134(a)(3).

Evaluation Report and Information Requirements: Each SLAA must submit an Evaluation Report to IMLS that independently evaluates LSTA-funded activities prior to the end of the five-year period. 20 U.S.C. § 9134(c). Each library (and sub-grantee) receiving federal funds through the Grants to States Program must submit to IMLS such information as the agency may require in order to fulfill the requirements of the LSTA. 20 U.S.C. § 9134(d). SLAAs should review the current evaluation guidance available on the IMLS Extranet: <http://stateprograms.ims.gov>.

## HOW TO SUBMIT YOUR PLAN

The State Plan narrative must cover the five fiscal years beginning with FY2013 and should be no longer than 25 pages. Please use 8.5" x 11" paper, leaving a margin of 0.5" on all sides, use a typeface that contains no more than six lines per vertical inch, and number all pages. The State Plan should be organized in the order of the requirements listed in these guidelines. The original plan and one electronic copy should be submitted by June 30, 2012. The electronic copy can be sent to: [stateprograms@ims.gov](mailto:stateprograms@ims.gov).

Send the originals to: Institute of Museum and Library Services  
State Programs  
1800 M Street NW, 9<sup>th</sup> Floor  
Washington, DC 20036-5802

## **CERTIFICATIONS AND ASSURANCES**

- Program Assurances for 2013 Grant Award
- Certifications Regarding: Nondiscrimination; Debarment and Suspension; Drug-Free Workplace; Federal Debt Status; and Lobbying
- Assurances of Non-Construction Programs
- State Legal Officer's Certification of Authorized Certifying Official
- Reporting Sub-awards and Executive Compensation
- Internet Safety Certification for Applicant Public Libraries, Public Elementary and Secondary School Libraries, and Consortia with Public and/or Public School Libraries

**Assurances and Certifications must have original signatures and must be returned with the Five-Year Plan.**