

Preface

Note: Due to the transition of this survey from the National Center for Education Statistics (NCES) to the Institute of Museum and Library Services (IMLS), we are requesting permission to begin printing the OMB number and expiration date by August 20, 2007, in order to prepare materials for mailing on October 2, 2007. The survey is unchanged from the 2006 survey administered by NCES.

This submission requests OMB clearance for the Institute of Museum and Library Services (IMLS) State Library Agencies Survey, Fiscal Year 2007–2009. No changes have been made to this survey since the 2006 survey, administered by the National Center for Education Statistics (NCES).

This survey is an annual data collection as part of a federal-state cooperative system of data collection, similar to the existing Public Libraries Survey to be conducted by IMLS beginning on October 1, 2007. The StLA has been conducted annually since its inception in 1994. The data are collected over the Internet via a web-based reporting system. The survey is voluntary and considered a model of federal/state cooperation. The survey has had a 100 percent response rate every year of data collection. This is a good indication of state library agencies' interest in and commitment to providing the data.

Section A. Justification

A.1. Necessity of the Information Collection

The State Library Agencies (StLA) survey will be a cooperative effort of the Institute of Museum and Library Services (IMLS), the Chief Officers of State Library Agencies (COSLA), and the U.S. Census Bureau (the data collection agent for IMLS). The survey was developed by the National Center for Education Statistics (NCES), based on the recommendation of COSLA in April 1992. The State Library Agencies Survey Steering Committee was established in November 1992 to provide continuing guidance in the design and the administration of the survey and includes representatives from IMLS, state library agencies, the American Library Association, and the Census Bureau. The StLA Survey is administered annually because the COSLA Financial Survey of State Library Agencies, which it replaces, was conducted annually. Annual data are also collected due to the importance of these data to StLAs and to state and federal policymakers.

The StLA Survey collects descriptive data about StLAs including information on their governance, allied operations, direct library services to the public, services to libraries and library cooperatives, electronic services and resources, service outlets, public service hours, collections, service and development transactions, staff, revenue, and expenditures.

StLAs are the official agency of a state charged by state law with the extension and development of public library services throughout the state. (see 20 U.S.C. sec. 9122) StLAs are designated in federal and state law as the governmental entity responsible for the administration and supervision of funds authorized and expended under the Library Services and Technology Act (LSTA) (P.L. 104–208). StLAs also administer the state library operations, allied operations (such as state archives, state legislative reference organizations, and state records management services), libraries for the blind and physically handicapped, and the State Center for the Book. They provide important reference and information services to state governments and may also function as the state's *public library at large*, providing library services to the general public. The statewide services provided by StLAs to libraries and library cooperatives are not reported elsewhere, and the StLA services provided to state government are not presently covered in any other data collection.

Congressional Authorization

IMLS will fulfill the congressional mandate in 20 U.S.C. sec. 9108. (Analysis of impact of museum and library services):

“From amounts described in sections 9123(c) and 9176(b) of this title, the Director shall carry out and publish analyses of the impact of museum and library services. Such analyses—

“(1) shall be conducted in ongoing consultation with—

“(A) State library administrative agencies;

“(B) State, regional, and national library and museum organizations; and

“(C) other relevant agencies and organizations;

“(2) shall identify national needs for, and trends of, museum and library services provided with funds made available under subchapters II and III of this chapter;

“(3) shall report on the impact and effectiveness of programs conducted with funds made available by the Institute in addressing such needs; and

“(4) shall identify, and disseminate information on, the best practices of such programs to the agencies and entities described in paragraph (1).”

IMLS library survey activities will be designed to address high priority library data needs; provide consistent, reliable, complete, and accurate indicators of the status and trends of state and public libraries; and report timely, useful, and high quality data to the U.S. Congress, the states, other education policymakers, practitioners, data users, and the general public.

A.2. Purposes and Uses of the Data

The purpose of the StLA Survey is to provide state and federal policymakers and other interested users with information about state library agencies. The data collected are useful to (1) chief officers of StLAs, (2) policymakers in the executive and legislative branches of Federal and state governments, (3) government and library administrators at Federal, state, and local levels, (4) the American Library Association and its members or customers, and (5) library and public policy researchers.

Federal and state officials will use these data in planning, as they make policy decisions about legislation, appropriations, and resource allocation; and monitor federal and state grant programs for public libraries and other libraries in the state. Public library statistics collected in the survey will be useful to support periodic review of legislation such as the LSTA. IMLS and other federal agencies will also use the data to help shape their recommendations regarding state libraries and public library service. StLAs will use the data for state, regional, and national comparisons of library services and resources to determine the level of StLA operations in agencies of similar size and characteristics, and to plan for the effective use of funds.

The StLA Survey is the only survey that collects the state library services to public libraries. The data cannot be collected through the Public Library Survey, as the data reported on that survey reflect services and resources directly administered by local public libraries. Therefore, in order to provide basic descriptive data on public library service nationally, StLAs need to be surveyed. National, state, regional, and local professional library associations need current, *comprehensive* public library data to develop informed policy positions on state libraries regarding their public library services and library development activities.

Researchers need these data to develop a broad picture of state library services to and funding of libraries and library cooperatives. Journalists and educators can use these data to determine the role of StLAs in the provision of statewide services to libraries and library cooperatives, and their contribution to the education infrastructure of the nation.

A.3. Use of Information Technology

The StLA data are collected over the Internet via a web-based reporting system. The web application includes a user guide and tutorial explaining how the application functions, the survey instrument, a 'Help' function that quickly links data items to their definitions, and an edit check tool. The web survey was designed to minimize response burden, to improve the timeliness and quality of the data, and to require minimal or no edit follow-up for data problems.

To reduce response burden, the survey is transmitted with pre-entered prior-year data for items where the data are not expected to change annually—most of Parts A through E and M, or about 65 percent of the survey items. The respondent is instructed to review the pre-entered data and update any information that

has changed from the previous year. All other data cells are left blank for the respondent to complete. The web edit check tool alerts the respondent to questionable data during the data entry process (via on-screen "edit check warnings") and through edit check reports that can be viewed on-screen or printed. The edit check program enables the respondent to submit an edited data file to NCES that usually requires little or no follow-up for data problems.

The final survey database and report will be released on the IMLS website. A print copy of the survey report is provided to chief officers of state library agencies, survey respondents, and the StLA Steering Committee.

A.4. Efforts to Identify Duplication

The StLA Survey is the only known survey of its kind. The State Library Agencies Survey Steering Committee provides continuing guidance in the design and administration of the survey and includes representatives from IMLS, state library agencies, the American Library Association, and the Census Bureau. The committee is aware of the need to identify and avoid duplication of effort. A search has been made to identify other efforts that might duplicate this data collection effort. IMLS finds that there is no other universe file available and no other effort duplicates the descriptive data collected by the StLA Survey.

IMLS administers the LSTA program and distributes the LSTA funds to StLAs, which are required by law to administer the funds and submit annual performance reports to IMLS describing LSTA grant activity. IMLS maintains state files of these reports and develops summary data for the Annual Performance and Completion Report submitted to Congress.

The StLA Survey and the LSTA reports differ in level of detail, reporting requirements, and reporting purposes.

Data from LSTA annual state program reports and data from the StLA Survey are not directly comparable. On the StLA survey, all data (including federal funds) are reported on the basis of the state fiscal year, for comparability and meaningful analysis. In contrast, due to specific grant requirements and deadlines incorporated into the grant-making effort, states submit interim and final financial reports to IMLS covering grant activity for different reporting periods (i.e., the funding grant period or fiscal year period).

IMLS collects LSTA data at the level of the *individual sub-grant*. The reported data are highly detailed, and the items differ from those collected on the StLA Survey. For example, IMLS collects data on the number of LSTA grants funded, the number of eligible applicants and applications, and the amount awarded. In contrast, the StLA Survey (Part H) collects data on the *aggregate* number of LSTA *and state grants* awarded. The StLA Survey (Part J) requests total LSTA State Program funds drawn down from the federal government during the state fiscal year covered by the survey, excluding carryover. IMLS requires that states report funds "available" for the federal fiscal year, including carryover. It would not be feasible for states to report LSTA allocations received from IMLS as revenue on the StLA Survey since many states, by law, cannot report their allotments as revenue until they expend the funds.

A.5. Methods Used to Minimize Burden on Small Businesses

Not applicable.

A.6. Consequences of Less Frequent Data Collection

The StLA survey is conducted annually, as was the COSLA Financial Survey, which the StLA survey replaces. Chief officers of StLAs need these data on an annual basis for program planning and budget-setting. COSLA also wishes to continue their historical time series of data on StLAs, begun with the COSLA survey, through the StLA survey. The high value that state library agencies place on the survey is evidenced by the 100 percent response rate to this survey since its inception in 1994.

One of the primary purposes of the StLA survey is to help complete the national picture of public library service. This goal is best achieved by conducting all surveys that collect public library data on the same frequency. The Public Libraries Survey (PLS) has been conducted annually since its inception in 1989. Annual data are more current and thus more valuable for planning and analysis than data collected on a less frequent schedule.

It usually takes several years for libraries to develop administrative records systems and to staff the library statistics specialty. Changes in survey periodicity may be disruptive (for example, the record systems may be allowed to degrade and trained staff may be reassigned) to library operations and may jeopardize future data collection capabilities and data quality.

These concerns have been repeatedly and forcefully expressed by the Chief Officers of State Library Agencies (COSLA) and the StLA Steering Committee, who urge the continued annual administration of the StLA Survey.

A.7. Special Circumstances

The data will be collected according to the paperwork reduction guidelines in 5 CFR 1320.5.

A.8. Consultations Outside the Agency

The StLA Survey Steering Committee is consulted in the design and conduct of the StLA survey. The committee includes representatives of state library agencies (including chief officers and survey respondents), IMLS, the ALA, and the Census Bureau (see appendix A).

A.9. Payments or Gifts to Respondents

There are no payments or gifts to respondents.

A.10. Assurance of Confidentiality.

IMLS would release data to the public to use for statistical purposes. In preparing public-use data for release, IMLS would seek to avoid the disclosure of confidential information. IMLS release of data in response to FOIA requests would be handled in accordance with the FOIA.

A.11. Justification for Sensitive Questions

There are no sensitive questions on this survey.

A.12. Estimates of Hour Burden to Respondents

<u>Survey</u>	<u>Number of respondents</u>	<u>Estimated response time*</u>	<u>Total burden hours</u>
StLA	50 states and DC	21.5 hours	1,096.5 hours

*Time per response is based on FY 2006 survey results that ranged from 1 hour to 80 hours (averaging 21.5 hours).

The cost to survey respondents is estimated to be \$28,509. This estimate is derived using the standard IMLS procedure: multiplying the estimated reporting hours per respondent (21.5), by the average hourly compensation for a typical respondent (\$26.00 per hour, for the combined time of a state data coordinator and a technician), by the projected number of respondents (51).

A.13. Estimates of Cost Burden to Respondents

There are no costs beyond those specified under A.12.

A.14. Estimates of Cost to Federal Government

The total cost to the federal government for administering the FY2007 StLA survey is estimated to be \$560,000. This includes salaries and expenses of \$431,000 for the Census Bureau (the data collection and processing agent for IMLS through an inter-agency agreement).

A.15. Reason for Program Changes or Cost Adjustments

There are no costs beyond those mentioned under section A. 12.

A.16. Project Schedule

The StLA data products will be released to the public on the IMLS website as soon as they are available. The StLA data products include (1) the final data file (in MS-Access and ASCII format) and (2) a report (in PDF format) containing selected findings from the survey and tables. A print copy of the report will be disseminated to chief officers of state library agencies, survey respondents, and the StLA Survey Steering Committee.

The FY2007 StLA Survey has the following schedule:

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|----|-------------------------------------|-------------------------------------|
| 1. | Survey mail-out | October 2, 2007 |
| 2. | Registration/data collection begins | October 17, 2007 |
| 3. | Survey due date | February 15, 2008 |
| 4. | Edit follow-up begins | Upon survey receipt (on flow basis) |
| 5. | Report released | November 2008 |
| 6. | Data file released | November 2008 |

A.17. Request to Not Display Expiration Date

The expiration date will be displayed at the top of the web survey instrument.

A.18. Exceptions to the Certification

There are no exceptions.