

# IMLS Laura Bush 21<sup>st</sup> Century Librarian Grant Program Evaluation

## Part A. Justification

### A1 Circumstances Requiring Collection of Information

The Laura Bush 21<sup>st</sup> Century Librarian (LB21) Grant Program was developed to improve diversity and technological sophistication within the library profession. To accomplish these goals, the grants were designed to recruit new librarians from students who had not made a decision as to their profession, individuals already working in libraries (e.g., as support staff), and those considering a second career. Specific efforts would be made to reach out to populations not well represented in the current pool of librarians (e.g., ethnically and racially diverse), speakers of languages in addition to English (e.g., Spanish), and those who could assist the physically challenged (e.g., hearing impaired). Since 2003, the Institute of Museum and Library Services (IMLS) has awarded over 280 LB21 grants supporting initiatives addressing Library and Information Science (LIS) education, training of library staff, research, and institutional capacity. The LB21 grant program has provided nearly \$150,000,000 to hundreds of eligible grantees including but not limited to libraries, colleges and universities, untenured tenure-track faculty in library and information science, library associations, and other not-for-profit organizations. In spite of the number and amount of awards made under the LB21 grant program there has been no evaluation of the LB21 grant program to date, ~~though a preliminary study of completed grants from 2003-2005 identified impacts on the master's and doctoral levels.~~ Without such an evaluation, there is no evidence of whether the program is achieving its intended goals and no informing direction for IMLS based on prior grant successes.

The goal of the current LB21 Grant Program Evaluation is to identify lessons learned and best practices in achieving IMLS's LB21 goals. This research study aims to highlight various qualities of the grants and to identify which program components met IMLS goals to guide future grant selection. The research will be conducted through a case study of a selection of grants, representing the full spectrum of ~~currently funded grant types which IMLS funds.~~ In order to capture the richness and unique qualities of the grant projects, researchers will contact grantees by phone and conduct interviews. This essential information will bring the grant exemplars to light to benefit the field and highlight best practices to inform future LB21 grant giving.

### A2 Indicate How, by Whom, and for What Purpose the Information Is to Be Used

The Institute for Museum and Library Services will be using the information gathered from this study to inform, refine, and improve future applications and agency grant-making and to describe the effects of grants, consistent with the Office of Management and Budget's call for increased emphasis on rigorous, independent program evaluations (OMB M-10-01). Ultimately, this information will be used to strengthen the design and operation of the program to achieve intended effects as well as possible. IMLS will be the sole user of information gathered from this study. IMLS use of study findings will include public dissemination of best practices and innovations to benefit the LIS field.

### **A3 Use of Information Technology to Reduce Burden**

The research team will gather this data through telephone interviews and will not use. No information technology will be used for collection.

However, fFor security purposes, data files are transmitted using one or more of the following secure methods: person-to-person delivery, accountable mail or delivery service, encrypted electronic mail, or other encrypted electronic transmission. In no case is un-encrypted electronic mail used to transmit sensitive data.

ICF International, the contractor carrying out this data collection, has ample secure storage capacity for all of the sensitive data it must handle in the execution of its contracts. Data provided to ICF and collected by interviews and other research methods are stored on ICF-owned, secure servers. Sensitive data are kept only within the confines of ICF facilities and are never stored on portable devices such as thumb drives or laptop computers. All copies of sensitive data, in paper or recordable media (CD, DVD) form, are stored in a locked container when not in use. Network servers are locked in a restricted access cage inside of a Tier IV data center. Physical access to the ICF building, in which the data center resides, and all internal doors is controlled by a redundant system of security staff, electronic key cards, and individual room locks of various types.

Data are accessed by ICF project staff via ICF's secure network from ICF-owned office computers that require password logins and that employ full disk encryption. Access to project data files is on a need-to-know basis and is restricted to approved project staff who have been granted specific permission to access the data and who have signed confidentiality agreements for this specific research project. Sensitive information will not be disseminated in any manner— orally, visually, or electronically—to unauthorized personnel.

### **A4 Avoidance of Duplication**

There has been no comprehensive evaluation of the LB21 Grant Program to date, though a preliminary study of completed grants from 2003-2005 identified impacts on the Master's and Doctoral levels. This study effort is therefore at no risk for duplication, as it includes the entire scope of current LB21 grantees. will be the first independent retrospective investigation of the LB21 Grant Program.

### **A5 Methods to Minimize Burden on Small Entities**

The phone interviews with grantees will not exceed 60 minutes. Respondents will have the option to end the interview at any time should they choose to not continue. In addition, the research team has examined the most recent grant-related report submitted by the grantees to IMLS; the interviewer will have a basic understanding of the grant's activities and purpose. Information obtained from archival records will not be sought again in the interview in order to reduce time on the phone with respondents.

### **A6 Consequences of Not Collecting Information**

The LB21 grant program is unique; no other institution or program explicitly services IMLS's mission in meeting the needs of training the next generation of library service professionals. As such, it is critical that the LB21 program is evaluated to ensure it is serving its intended purpose.

No data are currently available on the efficacy of the grant program; the current information collection is necessary to obtain grantee information and program participants' views of the grant's effectiveness. The study was designed to minimize burden to the greatest extent possible by inviting participants to only one interview. No technical or legal obstacles to this reduction of burden.

There is no plan to follow-up with grantees beyond the scope of this study. In addition, evaluators will not follow-up with respondents beyond the 60 minute phone interview. To avoid the need for follow-up questions, interviewers have been trained to carry out a thorough examination of archival data and following the interview protocol will also help to assure the information gathered is robust enough to produce meaningful findings. By asking similar questions of all respondents within each grant type and paying careful attention to questions that arise based on the existing data, the evaluators will be able to gather useful and meaningful data during the interviews, which will be supported by the archival research data as well. Interviewers will have weekly internal communications to identify places where additional information may need to be added into the protocols. The interviewers also will be holding meetings between the interviewers and the evaluation team to identify when we have hit information saturation on some questions which can then be de-emphasized during interviews with future respondents in order to further lessen the burden on the respondents. These meetings are also to ensure that the interviews are providing the necessary data to produce a meaningful analysis.

#### **A7 Explain Any Special Circumstances**

None of the special circumstances apply to these data collections.

#### **A8 Consultation Outside the Agency**

The interview protocols and survey questions were developed after extensive discussion between IMLS and ICF International. Barbie Keiser is joining the ICF team as an expert consultant in the library science field. Ms Keiser is a recognized expert in the LIS field and is a principal investigator of the project.

The only consultation outside the agency is that of an expert panel, composed of nine LIS-field experts hand-picked by IMLS. Each expert will sign a confidentiality agreement specific to this research effort prior to involvement with the project data. The research team will ask for the experts' opinions on analysis of data and to provide recommendations in production of the final report. Where possible, the data examined by the experts will be devoid of personally identifiable information.

IMLS's notice of this collection appears in the Federal Register Vol. 76, No. 224, pages 72003-70004, released on Monday, November 21, 2011. A copy of this notice is submitted with this clearance.

### **A9 Payment of Gifts**

Respondents will not be given monetary compensation for participating in this research effort. Their participation is strictly voluntary and uncompensated. The research team will, however, explain the benefits of the research to respondents and send each respondent an electronic copy of the final report.

### **A10 Assurances of Confidentiality**

Information gathered through interviews will be reported using a blended case-study format. Findings will be combined with those of grants with similar project goals and characteristics. Although we will avoid using the names of specific institutions and individuals, it may be possible for those familiar with the intricacies of the grants to identify particular institutions or individuals. In the instance that IMLS does use an institution's name, it will only be to make example of a positive grant component or attribute. In these cases, IMLS will only include the institution's name with explicit permission from the institution.

### **A11 Justification of Sensitive Questions**

No questions of a sensitive nature will be asked of or about any individuals. Data collected will concern program activities, not individual actions.

### **A12 Estimates of Respondent Hour Burden**

The researchers intend to interview 135 LB21 grantees, with interviews lasting no longer than 60 minutes each; many interviews are expected to take much less time than that. While the protocols for the various grantees differ in question number and question type, the researchers will aim to garner as detailed an understanding of each grant project as possible during the allotted 60-minute interview period. We further anticipate no longer than a 30 minute preparation period. Below indicates the anticipated respondent burden for respondent and a breakout of participant groups assuming 1.5 hours per respondent (one hour for interview and 30 minutes preparation):

<b><u>Grant Type</u></b>	<b><u># of Professors</u></b>	<b><u># of Librarians</u></b>	<b><u>Total</u></b>
<u>Masters</u>	<u>35</u>	<u>28</u>	<u>63</u>
<u>PhD</u>	<u>16</u>	<u>0</u>	<u>16</u>
<u>Research</u>	<u>9</u>	<u>1</u>	<u>10</u>
<u>Early Career</u>	<u>10</u>	<u>0</u>	<u>10</u>
<u>Institutional Capacity</u>	<u>11</u>	<u>3</u>	<u>14</u>
<u>Continuing Education</u>	<u>7</u>	<u>15</u>	<u>22</u>
<u>Total</u>	<u>88</u>	<u>47</u>	<u>135</u>
<u>Anticipated Hours per Participant Group</u>	<u>132 hours for professors</u>	<u>70.5 hours for librarians</u>	<u>209.5 hours for professors and librarians</u>

### **A13 Estimates of Annual Cost Burden to Respondents**

This one-time collection of information will not entail direct monetary costs to respondents for their participation other than the time taken to coordinate and respond to the interview.

**A14 Estimates of Annual Cost Burden to Federal Government**

This is a one-time survey. No costs will be ongoing.

**A15 Program Changes in Burden and Cost Estimates**

This request is for new information collection. No changes have yet been needed.

**A16 Plans and Schedules for Tabulation and Publication**

~~Reports will be prepared for publication based on data from archival research and grantee interviews of 135 individual case studies. Where appropriate, data will be presented in aggregated tables that may include breakouts by subcategory. Case study data will not be tabulated. Reports will be publically available and accessible on IMLS's website.~~

Below outlines the calendar timeline for ~~the~~ data collection, analysis and reporting portion of for this research effort.

<b>Date</b>	<b>Action</b>
May 30-2012	Receive OMB approval
June 1 2012	Begin data collection
June 1 2012	Begin data analysis (concurrent with collection)
July 10 2012	Conclude data collection
July 10 2012	Conclude data analysis
July 20 2012	Submit draft Report
July 27 2012	Submit final Report

<b>Action</b>	<b>Timeline</b>
<u>Interview data collection</u>	<u>Weeks 1-4</u>
<u>Data analysis: interview coding, triangulation of archival and interview data</u>	<u>Weeks 2-6</u>
<u>Data cleaning and database development</u>	<u>Weeks 2-6</u>
<u>Assemble draft report</u>	<u>Weeks 6-9</u>
<u>Submit draft report to Advisory Committee</u>	<u>Week 10</u>
<u>Incorporate feedback</u>	<u>Week 12</u>
<u>Submit draft report to IMLS</u>	<u>Week 13</u>
<u>Incorporate comments</u>	<u>Week 18</u>
<u>Submit final report to IMLS</u>	<u>Week 20</u>

One final report will be prepared for publication based on data from archival research and grantee interviews of 135 individual case studies. Where appropriate, data will be presented in aggregated tables that may include breakouts by subcategory. Case study data will not be tabulated. The final report will be publically available and accessible on IMLS's website.

**A17 Expiration Date Omission Approval**

Not applicable. All data collection instruments will include the OMB data control number and data collection expiration date.

**A18 Exceptions**

Not applicable. No exceptions are requested.