

APPLICATION DEADLINE:  
June 30, 2017

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IMLS: 202-653-4678 or visit  
<http://www.ims.gov>

**FIVE-YEAR STATE PLAN GUIDELINES  
FOR  
STATE LIBRARY ADMINISTRATIVE AGENCIES  
2018-2022**

**INSTITUTE OF MUSEUM AND LIBRARY SERVICES**

Burden Estimate and  
Request for Public  
Comments

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Institute of Museum and Library Services  
Grants to States Program  
955 L'Enfant Plaza North, SW, Suite 4000  
Washington, DC 20024-2135

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

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OMB No. 3137-0029; Expiration Date: TBD

**FIVE-YEAR STATE PLAN GUIDELINES  
For State Library Administrative Agencies  
Fiscal Years 2018-2022**

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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 35,000 museums. Our mission is to inspire libraries and museums to advance innovation, lifelong learning, and cultural and civic engagement. Our grant making, policy development, and research help libraries and museums deliver valuable services that make it possible for communities and individuals to thrive.

What is the Grants to States 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 projects that, among other purposes, 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 (“SLAAs”) may apply for Grants to States funds.

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).

To receive funds under the Grants to States program, each SLAA must submit to the Director of IMLS a State Plan detailing certain goals,

How to Apply? 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 to 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. 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. 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 and priorities of the LSTA as stated in 20 U.S.C. § 9121(1-9) through projects 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).

**Projects:** The narrative for each goal must describe its supporting projects, and explain what will be done, for whom; which procedures will be used to them out carry out; what benefit or outcome is expected; and how the SLAA will use IMLS funds to assist in meeting these goals. 20 U.S.C. § 9134(b)(2). A timeline should be provided for program activities over the five-year period.

**Coordination Efforts:** This section must include a crosswalk that maps each goal to one or more of the six Measuring Success focal area(s) and maps associated projects to one or more of the fourteen corresponding intent(s):

- Lifelong Learning
  - o Improve users' formal education
  - o Improve users' general knowledge and skills
- Information Access
  - o Improve users' ability to discover information resources.
  - o Improve users' ability to obtain and/or use information resources.
- Institutional Capacity
  - o Improve the library workforce
  - o Improve the library's physical and technological infrastructure
  - o Improve library operations
- Economic & Employment Development
  - o Improve users' ability to use resources and apply information for employment support
  - o Improve users' ability to use and apply business resources
- Human Services
  - o Improve users' ability to apply information that furthers their personal, family, or household finances
  - o Improve users' ability to apply information that furthers their

- o personal or family health & wellness
- o Improve users' ability to apply information that furthers their parenting and family skills
- Civic Engagement
  - o Improve users' ability to participate in their community
  - o Improve users' ability to participate in community conversations around topics of concern.

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).

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.

**Evaluation Plan:** The State Plan must include an evaluation plan that describes the methodology that will be used to evaluate the success of projects established in the State Plan. 20 U.S.C. § 9134(b)(4). Projects that include components of public and library staff instruction; content creation, preservation, description, or lending; and planning and evaluation will be evaluated using outcomes-based assessment questions built into the State Program Report. SLAAs will also conduct five-year evaluations as directed by legislation. 20 U.S.C. § 9134(c).

**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 program 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).

Monitoring: SLAAs must describe the procedures for continuous tracking of current performance in relation to the State Plan. See, 2 C.F.R. 200.327-332 . This monitoring should comply with reporting requirements related to the State Program Report.

Assurances: The following are the required certifications and assurances:

- Program Assurances for 2018 Grant Award (includes compliance with Internet Safety; Trafficking in Persons; Nondiscrimination; Debarment and Suspension; Drug-Free Workplace; Federal Debt Status; and Lobbying requirements)
- Assurances of Non-Construction Programs
- State Legal Officer’s Certification of Authorized Certifying Official
- 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, IMLS will send a letter 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;
  - Offer 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 to 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 subawards 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).

**Reporting Requirements:** For each annual award with a two-year period of performance, the SLAA must submit reports on LSTA-funded activities showing progress towards meeting the goals of the State Plan. An interim financial report (Federal Financial Report) must be filed at the end of the first twelve months and the final performance and final financial reports must be filed at the conclusion of the award period of performance .

Required reports are due 90 days after the end of each grant fiscal year (September 30). The SLAA must submit these reports online using the State Program Report (SPR) at <http://imls-spr.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 SLAA (and subrecipient) receiving federal funds through the Grants to States Program must submit to IMLS such information as IMLS may require in order to fulfill the requirements of the LSTA. 20 U.S.C. § 9134(d).

## **HOW TO SUBMIT YOUR PLAN**

The State Plan narrative must cover the five fiscal years beginning with FY2018 and should be no longer than 25 pages. Please format using a Letter (8.5" x 11") template; leaving a margin of at least 0.5" on all sides, using a font size of not less than 10. The State Plan should be organized in the order of the requirements listed in these guidelines. The plan should be submitted as a PDF document to [stateprograms@imls.gov](mailto:stateprograms@imls.gov) not later than June 30, 2017.



## **CERTIFICATIONS AND ASSURANCES**

Program Assurances for 2018 Grant Award

- Non-Construction Assurances Form (SF-424B)
- State Legal Officer's Certification of Authorized Certifying Official
- 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 be returned with the Five-Year Plan.**