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ABSTRACT
                This five-year plan for the administration of Utah's Library
Services and Technology Act (LSTA) program contains the following sections:
(1) principles; (2) assumptions; (3) the current scene of Utah libraries,
including public libraries, academic libraries, school library media centers,
and private and research libraries; (4) establishment of needs; (5) LSTA
priorities and Utah goals and objectives; (6) activities, including a chart
of LSTA goals/priorities, objectives, activities, sample grant targets, and
evaluation examples; (7) procedures, including state library board roles and
responsibilities for overseeing the LSTA program,
membership/nominations/appointment process and terms of the LSTA, role of the
LSTA Advisory Council, eligibility criteria for Utah libraries applying for
LSTA grants, and the grant process; (8) a grant matrix, including category,
grant purpose, review body, decision body, appeal body, schedule, and match
requirements; (9) proposed five-year plan schedule; (10) evaluation
methodologies; (11) expenditure plan for the Utah State Library; (12) library
community and user involvement in LSTA plan implementation; and (13) State
Library assurances. (MES)

# Utah State Library Division Library Services & Technology Act Five Year Plan

# UTAH STATE LIBRARY DIVISION

## LIBRARY SERVICES & TECHNOLOGY ACT

### Five Year Plan

## I. INTRODUCTION

This Five Year Plan for the Library Services and Technology Act sets forth the principles, assumptions, library conditions, needs, goals, objectives, activities, and procedures for administering Utah's LSTA program. It provides a time line for LSTA administration, an overview of planned evaluation activities, describes an expenditure plan for administrative costs, and outlines an approach to assuring the involvement of the library community and library users in the continuing implementation of the LSTA program in Utah.

The plan has been developed by the Utah State Library Division staff with the assistance of the LSCA/LSTA Advisory Council under the authority of the Utah State Library Board. It was approved as is by the State Library Board on March 16, 1999, and is submitted to the Director of the Institute of Museum and Library Services in compliance with federal requirements.

## II. PRINCIPLES

A. The Utah State Library Division will use LSTA funds to support libraries in delivering technology-based information services to Utah residents and to promote equity in access to basic library services across the state for those having difficulty accessing library services, including individuals with disabilities.

B. Basic library service is the responsibility of Utah's cities and towns, school districts, institutions of higher education, and other similar sponsoring institutions and agencies. LSTA funds cannot substitute for adequate sustained financial support from such sources. Instead, LSTA grants should provide incentives for increased local government, school district, or institutional financial support for library services. Grants should not supplant local initiative and should not be used to support ongoing operations.

C. LSTA grants will be targeted at specific goals and activities as set forth in this plan and as prioritized annually by the LSTA Advisory Council and the State Library Board. In developing budgets and determining eligibility for specific grant targets, the Council and Board will take into consideration other opportunities available within the state from both public and private sources for funding for library services and technology applications.

D. The use of LSTA funds will encourage overall equity and reciprocity among libraries in both the benefits they receive and the contributions they make within the broader pattern of library service within Utah.

E. Although all types of libraries are an important part of Utah's library community, LSTA funds will focus on public library service, as defined below in Section VIII. D.1. However, all types of libraries may be eligible to apply under some grant targets. Partnerships will be encouraged, and specific grant targets may call for a multi-type focus — especially resource sharing and interlibrary cooperation on a regional or statewide basis and technology projects involving more than one library.

F. As with LSCA, some LSTA funds will be reserved for statewide services. However, the State Library Division acknowledges the strategic importance of both competitive and noncompetitive grants in stimulating the development of library services in Utah and remains committed to a strong grants program.

# III. ASSUMPTIONS

A. The first year of LSTA funding (October 1, 1997, to September 30, 1998) will be a year of transition and further planning. A substantive effort will be necessary throughout the 1997-1998 year to fully develop a new grants program.

B. The development of the Five Year Plan for LSTA, its annual revision, and the design of the required five year independent evaluation of the Act deserves broad input from the Utah library community. The State Library Board and LSTA Advisory Council will use all possible means (meetings, electronic exchanges and publications, print publications, and mailings) to achieve that end.

C. Given the valuable assistance provided by the LSCA Advisory Council in the administration of the LSCA program, the State Library Division will implement the provision in LSTA which allows the formation of a state advisory council.

# IV. THE CURRENT SCENE OF UTAH LIBRARIES:

A. <u>Public Libraries</u>

Utah's public libraries face two daunting challenges at the threshold of the 21st Century: to maintain and expand traditional information services and, concurrently, to implement and enhance the latest in electronic information technology with essentially the same amount of dollars. Utah's 70 public library jurisdictions serve populations as small as 641 (Minersville Public Library) and as large as 590,130 (Salt Lake County Library System). In 1996, Utah's public libraries spent a total of $38,794,505, or an average rate of $20.38 per capita. There is a wide disparity of per capita expenditures across the state from a low of $3.57 per capita to a high of $62.33. This wide range of expenditures reflects uneven local tax support and fiscal capacity of the community, which in turn, is a reflection of the state demographics and its geography.

Aside from local funding, public libraries have had access to federal and state funds or subsidized services through: LSCA Title I, II, and III programs (ending in 1997); State Development grants (the annual total having been reduced by $60,000 in the last two years); State Library Division Internet Connectivity grants (which are intended only as start up funding); and private grant awards. Although grants and gifts in technology from the private sector are appreciated by under-equipped and locally under-funded public libraries, they are not a dependable source of support.

These resources have helped public libraries improve services and incorporate needed information technology for managing world class facilities. All but a handful of public libraries have automated circulation and/or bibliographic systems; yet many of these are older versions with limited or insufficient capacities. One hundred and five out of a total of 113 public library sites are connected to the Internet. Through the State Library's website, these libraries can now access *Pioneer: Utah's Online Electronic Library* (an information database of full-text periodicals and newspapers); communicate by Internet E-mail, participate in the Utah Library Network Listserv; and engage in resource sharing incentive activities. Unfortunately, patron demand and staff use of these electronic services is growing exponentially to the number of workstations available. Librarians must now allocate these scarce resources among waiting patrons.

Public institutional libraries serve Utah's special populations: The Utah Department of Corrections provides library service to adult inmates in three prison locations across the state. The Department of Human Services' Division of Youth Corrections supplies reading material to two youth facilities in Salt Lake City. The State Hospital in Provo has a medical and a patient library. The Library at the Utah State Developmental Center for the mentally retarded in American Fork provides service to residential and day patients. The School for the Deaf and Blind in Ogden offers reading and instructional materials to its clientele. These institutional libraries have shared a total of $30,000 of annual LSCA funding in the past.

The Utah Regional Library for the Blind and Physically Handicapped, an administrative program of the State Library, provides public library services to 7,166 Utahns under eligibility requirements established by the Library of Congress' National Library Service for the Blind. The program also provides braille service to several western states and operates a Multi-State Center for the West for the Library of Congress. In total, the library serves 10,068 patrons in the western United States.

The future for Utah's public libraries would be a mission impossible, if the groundwork hadn't begun years ago as new information technology evolved and local library leadership recognized the potential. LSTA funding will play a crucial and strategic role in allowing Utah's public libraries to take advantage of the capacity of future information technology to deliver the best in library services to Utah residents.

B. Academic Libraries

Higher education in Utah is supported by fourteen academic libraries located on the campuses of nine public and two private institutions. During the last ten years, each campus has had either a major building addition or construction. Collections for 1996 range from under 40,000 volumes at Snow College to over 2,500,000 at the University of Utah. The student populations served during 1996 were as small as 1,800 at Westminister College to over 31,000 at Brigham Young University. The student population has been steadily rising over the past years averaging a 2% growth while state average of volumes to FTE student is around 66.0. Overall, these libraries serve a population of roughly 110,000 that have access to over seven million volumes and annual circulation of close to two million.

The libraries of higher education are all members of the Utah Academic Library Consortium established in 1971. UALC's primary concern is to foster cooperation, growth and access among the libraries of higher education. The consortium has made significant strides during the past few years. Over the past three years, the consortium has undertaken the replacement of library systems on each campus with a common statewide integrated system. Various systems were reviewed through an RFP process, and the consortium negotiated a contract with Ameritech for the Horizon library system. Implementation is expected to be completed by 1998/99. Last year, UALC proposed to the Utah Legislature a funding strategy known as *Libraries 2000*. This proposal addresses the continual inflationary costs of serials. State funding is set aside from traditionally appropriated monies to be dispersed to academic libraries to cover inflation and innovative projects that will support the user's access to information.

In the early 1990's, cooperative ventures were made to address electronic funding and access concerns. Statewide access was given to nine Wilson databases. Initially, funding was made available for the UMI ProQuest system that provided fulltext journal articles. In 1997, the service was switched to IAC SearchBank. This switch was part of a cooperative contract between higher education, public education and the public library system. This collaborative endeavor established the *Pioneer* project mentioned previously.

UALC is addressing partnerships with other libraries to explore the potential of commercial document delivery services. This initiative will support the needs of distant learners and the emerging Western Governors' University. UALC will examine information databases that can be accessed via the Web and

consortially purchased to provide such services throughout the state for the off-campus user. Commercial document delivery services could alleviate the high cost of serials by allowing the library or user to purchase articles on demand.

## C. School Library Media Centers

The primary task of school library media centers, i.e., teaching students how to use libraries and information resources within the library and beyond, is more important than ever in the Information Age. One of the greatest challenges facing school libraries in performing this task is that of providing current information in many formats for the classroom and library instructional program. Added to this challenge is the need to supply research materials to distance learning students in remote areas. These tasks become increasingly difficult as escalating demands for information must compete with increased demands for smaller class size and more computers in classrooms and labs.

Utah's public school library media centers serve over 478,000 students. The state's 445 elementary and 301 secondary schools in forty districts are governed by local school boards. The schools range in size from twenty students in a K-12 school to high schools with over 2,500 students. Virtually all of Utah's standard schools have a library media center. Approximately 30% of the districts employ fully certificated library media teachers at all grade levels. All but nine districts have at least one full-time, certificated library media teacher.

Public school library media programs are financed as a part of the general education funding. Revenue is generated by the State Legislature and through property taxes. The quality of Utah's school library media collections was affected when federal funding for school library materials changed from "line-item" to "optional" status in the mid-1980's and schools had to depend more heavily on local and state funds. In fiscal year 1994, for example, schools reported an annual average library book expenditure of $4.04 per student. Serving as a stop-gap measure, Utah legislation in 1995 allocated $3 million, one-time-only funding, for libraries in a block with $6 million for textbooks. In 1996, $4.5 million one-time-only funding was approved for school library media center book and CD-ROM collections. Limited funding is evident in outdated and meager materials collections and disparities across the state in media center access to computer technology.

The Educational Technology Initiative (ETI), has provided nearly $80 million to establish a technological base in computer labs and classrooms. Although some school libraries have benefitted from ETI, the legislation does not allocate funds specifically for technology in school library media centers.

Despite funding challenges, school library media centers have made substantial gains in service. In 1996, secondary schools teamed with UtahLINK to test a full-text periodical index database on the Internet. The successful eight-month pilot prompted school library media centers, and academic and public libraries to jointly purchase and share full-text periodical databases. The collaboration inspired the *Pioneer* project.

Three primary efforts have produced substantial advances in staff development: 1) During the past three years approximately 200 librarians have completed the Utah State Office of Education's School Library Media Applications on the Internet. 2) Over 100 educators were trained in the new library media/information literacy core curriculum. Subsequent implementation included working with public and academic librarians. This program is continuing to add groups annually. 3) Beginning its fourth year, the USOE Library Media Speaker Series features national leaders in the field who address such diverse themes as electronic search strategies and family reading.

Finally, even with less-than-adequate collections, Utah's school librarians achieved high success with the reading initiative "Count on Reading, Count on Utah." Utah citizens, primarily students, read over

3,300,000 books, surpassing such populated states as Ohio and New York.

Through sharing of electronic resources and creative partnerships with other members of the library community, Utah schools are positioned to build on strengths and improve the overall quality of what is offered to students as they learn to manage information and develop into lifelong learners.

D. <u>Private and Research Libraries</u>

Private and research libraries in Utah represent a wide range of purpose and type. They include business, government, law, medical and church libraries. These libraries operate within the confines of their parent organization and are sometimes limited in their ability to form partnerships with other organizations. Many do not provide service to the public at large. In addition, there have been few efforts to include them in multi-type library efforts. Too, many special libraries have "firewalls" protecting their organizational systems, thus making it difficult for them to participate in any open system projects.

There are, however, examples of collaboration which serve as a model for future efforts. The Utah Health Sciences Library Consortium has partnered with the Spencer S. Eccles Health Sciences Library to form a union catalog of health sciences material on the Ameritech Horizon online system. The Consortium is a group of twenty hospitals and healthcare companies who have been cooperating for almost twenty years. The State Historical Society and Utah State Archives have worked together to create an electronic guide to archives and manuscripts. The Utah Education Network worked successfully with the State Historical Society to produce the *Utah Collections Multimedia Encyclopedia*, a CD-Rom and web based interactive resource tool for teachers and students at both the K-12 and higher educational levels. This is a product of obvious value to libraries. Opportunities for research and private libraries with LSTA would include partnering with publicly funded organizations where there would be mutual benefits.

# V. ESTABLISHMENT OF NEEDS

In developing this plan, the State Library staff, the LSCA/LSTA Advisory Council, and the State Library Board have drawn on multiple sources to establish the needs addressed by the Goals and Activities outlined in Section VI. Broad background information has been derived from the 1991 Governor's Conference on Library and Information Services; educational technology initiatives in public and higher education; *Libraries 2000* (a planning initiative of the Utah Academic Library Council); the experience of the Advisory Council, State Library Board and staff in administering and evaluating the *Library Services and Construction Act*; the *Re-Engineering Statewide Library Services in Utah* project that redefined the mission and roles of the State Library Division in 1995; and specific planning and evaluation initiatives for the Utah Library Network initiative.

During the development of this LSTA Five Year Plan, the State Library staff, Board, and LSCA/LSTA Advisory Council have solicited broad input. Preliminary drafts were reviewed by the Advisory Council and Board, and a document was prepared for distribution to the Utah library community. This mailing included a survey to organize responses and reactions to the draft. The plan was modified based on an analysis of the input received, and a second major draft was the subject of a program held in conjunction with the Utah Library Association's annual conference in May, 1997. Various drafts have been available on the Division's website, with a comment form available to encourage further responses. The Advisory Council and State Library Board expect that this plan will be a living document, and are committed keeping the plan responsive to the needs of Utah's libraries over time. Articles in the State Library Division's newsletter, *DIRECTIONS*, will report on the progress, implementation, and accomplishments of the LSTA State Plan as it benefits Utah libraries.

# VI. LSTA PRIORITIES & UTAH GOALS AND OBJECTIVES

**LSTA Priority: Establishing or enhancing electronic linkages among or between libraries**

**LSTA Priority: Paying costs for libraries to acquire or share computer systems and telecommunications technologies**

*Utah Goal 1:* *Assure that there will be some form of basic automation in every public library jurisdiction: bibliographic and circulation control and Internet access*

    a. To provide funding to implement initial automation systems for circulation and bibliographic access

    b. To install initial Internet connectivity

*Utah Goal 2:* *Encourage enhanced public library and/or multi-type library technology projects*

    a. To provide for integrated library systems

    b. To enhance integrated library systems and services

    c. To increase the number of public workstations to access electronic information and/or provide higher speed connectivity

**LSTA Priority: Linking libraries electronically with educational, social or information services**

**LSTA Priority: Assisting libraries in accessing information through electronic networks**

*Utah Goal 3:* *Provide public libraries and state agencies Internet access to commercial electronic information resources through PIONEER: Utah's Online Electronic Library*

    a. To collaboratively negotiate information products with commercial vendors, and state government and educational partners

    b. To fund public library use of PIONEER's commercial products

    c. To promote public use of electronic information resources

*Utah Goal 4:* *Enable libraries to participate in the establishment and operation of community electronic networks*

    a. To support efforts by libraries and local agencies to develop community based electronic networks

**LSTA Priority: Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; or paying costs for libraries to acquire or share computer systems and telecommunications technologies**

*Utah Goal 5:* *Support continued operation of electronic library networks and other activities that promote resource sharing and encourage interlibrary cooperation*

    a. To support and appropriately extend the participation of public and academic libraries in resource sharing incentive programs

    b. To encourage all types of libraries to form partnerships and participate in cooperative activities to improve service delivery

**LSTA Priority: Targeting library and information services to people of diverse geographic, cultural and socioeconomic backgrounds; individuals with disabilities; people with limited functional literacy or information skills; persons having difficulty using a library; and underserved people in urban and rural communities**

*Utah Goal 6:* *Improve library services for those having difficulty using a library or who are underserved*

    a. To eliminate physical, cultural, geographical, educational, institutional, linguistic, economic and social barriers to information access and

    b. To implement customized services for children in poverty, isolated rural populations, minorities and ethnic groups, senior citizens, and individuals with disabilities

**Utah Priority: To help the Utah State Library Division and the Utah library community effectively meet all LSTA priorities**

*Utah Goal 7:* *Support statewide planning, evaluation, and library development projects to enable the State Library Division and the Utah library community to effectively utilize LSTA funding in meeting future challenges*

a. To plan and develop appropriate programs

b. To design appropriate evaluation models on an annual and five year basis

c. To design and implement needed consulting, continuing education and other library development programs

# VII. Activities:

## LSTA DRAFT GOALS AND ACTIVITIES

### TECHNOLOGY - Section 231 (a) (1)

| Goals/Priorities | Objectives | Activities | Sample Grant Targets | Evaluation Examples |
|---|---|---|---|---|
| 1. Assure that there will be some form of basic automation in every Utah public library jurisdiction: bibliographic, circulation control, and Internet access | a. To provide funding to implement initial automation systems for circulation and bibliographic access<br>b. To install initial Internet connectivity . | Competitive grants for public libraries | Technology grants to implement basic automation and Internet connectivity | Track progress against a baseline technology survey<br>LSTA project reports; state summary & evaluation report |
| 2. Encourage enhanced public library and/or multi-type library technology projects | a. To provide for integrated library systems<br>b. To enhance integrated library systems and services<br>c. To increase the number of public workstations to access electronic information and/or provide higher speed connectivity | Statewide services: Plan standards for eligibility, grant processes and procedures for a competitive grants program. (a, b)<br>Competitive grants for public libraries (c) | Planning/Activities:<br>Integrated systems<br>Planning grants for acquiring expertise to plan technology projects<br>Technology grants to implement enhanced integrated library systems and Internet capacities | LSTA project reports; state summary & evaluation report |
| 3. Provide public libraries & state agencies Internet access to commercial | a. To collaboratively negotiate information | Continuing statewide services: administration, negotiation, and | | Network user statistics (number & frequency of |

| electronic resources of information through *PIONEER: Utah's Online Electronic Library* | products with commercial vendors and state government and educational partners<br>b. To fund public library use of PIONEER's commercial products<br>c. To promote public use of electronic information resources | payment of state level contracts<br>Continuing education | | databases searched by library); state summary & evaluation report |

## TECHNOLOGY - Section 231 (a) (1)

| Goals/Priorities | Objectives | Activities | Sample Grant Targets | Evaluation Examples |
|---|---|---|---|---|
| 4. Enable libraries to participate in the establishment and operation of electronic community networks | a. To support efforts by libraries and local agencies to develop community based electronic networks | Competitive grants for all types of libraries<br>Statewide services: Plan standards for eligibility, grant processes and procedures for a competitive grants program (a ) | Planning grants for acquiring expertise to plan technology projects<br>Technology grants to implement or enhance library participation in community networks | LSTA project reports; State summary and evaluations |
| 5. Support continued operation of electronic library networks and other activities that promote resource sharing and encourage interlibrary cooperation<br>Schools and academic libraries are strongly encouraged to partner with public libraries | a. To support and appropriately extend the participation of public and academic libraries in resource sharing incentive programs<br><br>b. To encourage all types of libraries to form partnerships and participate in cooperative activities to improve service delivery | Non-competitive grants for academic and public libraries (a)<br>Competitive grants for all types of libraries<br>Partnerships among all types of libraries are strongly encouraged (b)<br>Statewide services: Plan standards for eligibility, grant processes and procedures for competitive grants program | Resource sharing incentive grants to libraries that loan materials to other Utah libraries<br><br>OCLC/ILL grants to libraries that add library holdings to the OCLC union catalog and use the ILL subsystem<br>Implementation grants to assist libraries in forming partnerships to improve service delivery | LSTA project reports; State summary and evaluation |

## ACCESS - Section 231 (a) (2)

| Goals/Priorities | Objectives | Activities | Sample Grant Targets | Evaluation Examples |
|---|---|---|---|---|
| 6. Improve library services for those having difficulty using a library or who are underserved | a. To eliminate physical, cultural, geographical, educational, institutional, linguistic, economic and social barriers to information access and<br>b. To implement customized services for children in poverty, isolated rural populations, minorities and ethnic groups, senior citizens, and individuals with disabilities | Continuing Statewide Services: Regional Library for the Blind and Physically Handicapped<br><br>Competitive grants for all types of libraries meeting eligibility standards<br><br>Partnerships among all types of libraries are encouraged | a. Planning grants to assess needs and develop plans for eliminating barriers to information access or designing customized services for the underserved<br><br>b. Technology grants to provide adaptive technology, software and equipment for the physically disabled and the wheelchair bound; for the visually impaired, large screen monitors; for the hearing impaired, audio enhanced software; for the home bound patrons, remote dial-in access capability which also extends after hours library usage to the general public<br>c. Customized service grants for providing access to library catalogs in other languages; for collection development in special formats; for cooperative collection development projects; to support literacy programs with training technology, products, and classes; for training all disadvantaged groups in accessing electronic resources; and supporting library services to the institutionalized or individuals with disabilities | LSTA project reports; State summary and evaluation<br><br>LSTA project reports; State summary and evaluation<br><br>LSTA project reports; State summary and evaluation |

## ACCESS - Section 231 (a) (2)

| Goals/Priorities | Objectives | Activities | Sample Grant Targets | Evaluation Examples |
|---|---|---|---|---|
| 7. Support statewide planning, evaluation, and library development projects to enable the State Library Division and the Utah Library Community to | a. To plan and develop appropriate programs<br>b. To design appropriate evaluation models on an annual and 5 | Continuing statewide services: administration; communications; continuing education | | Program evaluation |

| | | | | |
|---|---|---|---|---|
| effectively utilize LSTA funding in meeting future challenges | year basis<br>c. To design and implement needed consulting, continuing education and other library development programs | | | |

# VIII. PROCEDURES:

## A. State Library Board Roles and Responsibilities for Overseeing the LSTA program

1. Assume a proactive role in determining the impact of the LSTA program on Utah's libraries and library users, especially with regard to the overall structure, fund allocation and fairness of the grants program.
2. Establish and appoint members to a Utah LSTA Advisory Council. Approve the role of the Council to assist the State Library Division in the distribution and use of federal *Library Services and Technology Act* funds that promote the expansion and improvement of Utah's libraries.
3. Approve Five Year Plan, annual plans and revisions, and contribute expertise to the annual and five year evaluation process.
4. Allocate LSTA funds to support plan priorities (technology and access), plan goals, and the separate grant categories on an annual basis in order to retain flexibility.
5. Determine eligibility requirements for libraries applying for LSTA grant applications, and certify, based on an application process, individual private/research libraries as eligible to apply for LSTA grants.
6. Serve as the decision body on Major grants and the appeals body for Regular grants.

## B. Membership, Nominations& Appointment Process, and Terms of the LSTA

Advisory Council

1. Composition:

The Council will be broadly representative of the state's public, school, academic, private, research and institutional libraries, and library users and persons with disabilities within the state. Members appointed by the Board will serve for initial terms of three years, with reappointments for an additional three years being an option. Some LSCA members may be asked to continue to serve on the LSTA Advisory Council during a transition period. The Council will be comprised of twelve members. There will be three members from the Public Library arena representing a large library, a small library, and the Board of Trustees. School libraries will be served by a member from the District or State level and a member from an individual school or building level. Academic libraries will have representation by a member from a large university and a member from a small or community college level institution. One member will represent a Private or a Research Library. Four library users will be appointed to represent the following categories: an urban area, a rural area, the disabled and the disadvantaged.

2. Appointment Process:

LSTA Council members will be appointed by the State Library Board in an open nominations process.

## C. Role of the LSTA Advisory Council

1. Advise the State Library Division and the State Library Board on the development of, and policy matters pertaining to, the administration of the Five Year Plan and assist in evaluating the activities conducted under this Act.
2. Assist the State Library Division staff in determining the appropriate evaluation methodologies for LSTA grants and projects.
3. Advise the State Library staff in the development of LSTA grant handbooks, application and evaluation forms.
4. Review applications for Regular and Major grants and serve as Appeals Body for Mini-grants (up to $7,500).
5. Assist the State Library Division staff and State Library Board in determining when specialized technical expertise for LSTA grants may be appropriate to help the Council, State Librarian and State Library Board in considering grant applications; and when expertise is required, recommend the roles and procedures needed to manage such a process.
6. Attend all LSTA meetings and contribute expertise to the grant review process; participate with State Library staff in selected site visits to libraries applying for LSTA grants.

## D. Eligibility Criteria for Utah libraries applying for LSTA grants

1. Public libraries:

a. City and county libraries: Must be fully or provisionally certified under the UPGRADE Standards by the State Library Division.
b. Public institutional libraries: Must receive 50% or more of its operating funds from the State of Utah, have an organized collection, a materials budget, provide service to an underserved population, and employ a librarian who has an MLS degree or has completed the UPLIFT Certification Training program.
2. Academic libraries:
Must be a member in Utah of UALC, provide some measure of public access to its collection, and participate in interlibrary loan resource sharing services to libraries in Utah.
3. Public Elementary and Secondary School libraries: Must provide an accessible, centrally housed and organized collection; have a school board- approved, district-level collection development policy; and have an on-going line-item budget for library materials. Additionally, school library personnel must be assigned responsibility for library media programs. If neither the school library personnel nor the district supervisor holds library media certification, a certificated library media teacher within the district must be willing to participate in the preparation and implementation of a grant. A single proposal submitted through the school district office may represent the request from one school, a multi-district consortium, many school library media centers, or multi-type libraries, i.e., school and public and/or academic libraries working together.
4. Research and/or Private libraries:
Must apply first to the State Library Board for eligibility certification to be developed by the LSTA Council and State Library staff and approved by the State Library Board. These libraries are only eligible for collaborative or multi-type library project grants. A research library must *make publicly available library services and materials suitable for scholarly research and not otherwise available to the public and is not an integral part of an institution of higher education.*

## E. Grant Process

On an annual basis, the State Library Board will review the anticipated funding for LSTA, anticipated needs for continuing statewide services, and recommendations from the Advisory Council and State Library staff. They will approve an overall amount to be reserved for the continuing statewide services as shown in this plan and allocate remaining funds to the LSTA Mini, Regular, and Major grants program as

shown on the Grant Matrix below. The announcement of each round of grants will be contingent upon the amount and timing of federal appropriations. Staff will prepare an annual grants calendar, application forms, and an annual *Utah LSTA Program Handbook*, which will include such items as the following:

- A description of the full grant process, eligibility information, general requirements for all LSTA grants, requirements specific to selected types of LSTA grants, and a description of evaluation procedures and performance measures to be followed:
- Procedures for contracts, payments and audit requirements; and
- A description of the general procedures to be followed by the State Library staff, LSTA Advisory Council and the State Library Board in administering the grants program.

# X. GRANT MATRIX

| Category | Grant Purpose | Review Body | Decision Body | Appeal Body | Schedule | Match Requirement |
|---|---|---|---|---|---|---|
| Mini-Grants<br><br>(Up to $7,500) | **Goal 1**, a and b (Basic Technology) **Goal 2**, c (Internet Connectivity Enhancement) **Goal 4**, (Community Electronic Networks) **Goal 5**, b (Partnerships & Cooperative Projects) **Goal 6**, a and b (Improved Access to Library Services) | State Library staff and special technical expertise when required | State Librarian | LSTA Advisory Council | Semi-Annually | No match required |

| Category | Grant Purpose | Review Body | Decision Body | Appeal Body | Schedule | Match Requirement |
|---|---|---|---|---|---|---|
| Regular Grants (From $7,501 to $74,999) | **Goal 1**, a and b (Basic Technology) **Goal 2** a, b and c) (Enhanced Technology Projects) **Goal 4** (Community Electronic Networks) **Goal 5**, b (Partnerships & Cooperative Projects) **Goal 6**, a and b (Improved Access to Library Services) | LSTA Advisory Council Special technical expertise | State Librarian (Based on LSTA Advisory Council recommendation) | State Library Board | Semi-Annually | 50% project match<br><br>50% project match<br><br>25% project match<br><br>25% project match<br><br>50% project match |
| Major Grants (Over $75,000) | **Goal 2** a, b and c) (Enhanced Technology Projects) **Goal 4** (Community Electronic Networks) **Goal 5**, b (Partnerships & Cooperative Projects) **Goal 6**, a and b (Improved Access to Library Services) | LSTA Advisory Council and special technical expertise when required | State Library Board (Based on LSTA Advisory Council recommendation) | State Library Board | Annually | 50% project match<br><br>25% project match<br><br>25% project match<br><br>50% project match |

# IX. PROPOSED LSTA FIVE YEAR PLAN SCHEDULE

A. <u>Year One: October 1, 1997 — September 30, 1998</u>

Administer the first round of LSTA grants.

With appropriate public comment, define grant targets for year two, and draft necessary guidelines and procedures.

Conduct an interim evaluation of year one projects.

### B. Year Two: October 1, 1998 — September 30, 1999

Administer year two LSTA grants.

With appropriate public comment, define grant targets for year three, and draft necessary guidelines and procedures.

Conduct a final review of year 1 projects and an interim evaluation of year two projects.

### C. Year Three: October 1, 1999 — September 30, 2000

Administer year three LSTA grants.

With appropriate public comment, define grant targets for year four, and draft necessary guidelines and procedures.

Conduct a final review of year two projects and an interim evaluation of year three projects.

### D. Year Four: October 1, 2000 — September 30, 2001

Administer year four LSTA grants.

With appropriate public comment, define grant targets for year five, and draft necessary guidelines and procedures.

Conduct a final review of year three projects and an interim evaluation of year four projects.

Develop a preliminary proposal for an overall five year evaluation of the LSTA program.

### E. Year Five: October 1, 2001 — September 30, 2002

Administer year five LSTA grants.

Conduct a regular final review of year four projects and an interim evaluation of year five projects.

Conduct the evaluation of the full Five Year Plan.

With appropriate public comment, prepare a new Five Year Plan.

# X. EVALUATION METHODOLOGIES

Evaluation methodologies will be applied to the use of LSTA funds at several levels. First, the grant process will require that an evaluation be conducted of each grant using methods appropriate to the nature of the grant. Goal VII funding may be used to support training programs to help LSTA applicants better understand how to design and implement an appropriate evaluation. Second, as grant categories are opened, the LSTA Advisory Council, State Library staff and Board will establish what baseline information and evaluation approaches will be needed to evaluate the impact over time of each grant category. As needed, funding may be allocated under Goal VII to assure that the evaluation design is relevant, feasible, and appropriate to the grant category. Methods which yield both formative and summative information will help the LSTA Advisory Council and State Library Board exercise judgment in shaping the administration of this LSTA plan over its five year span. Finally, the State Library Board and staff, with the assistance of the LSTA Advisory Council, will plan for and implement the five year evaluation required by LSTA statutes.

# XI. EXPENDITURE PLAN FOR THE UTAH STATE LIBRARY

# DIVISION'S 4% ADMINISTRATIVE COST

The State Library Division will use its 4% administrative costs to cover the following types of activities:

- Meeting expenses for the LSTA Advisory Council
- Travel expenses (either in-state or out-of-state) associated with the administration of LSTA
- Staff salaries for time spent on LSTA administration
- Special technical assistance from consultants or other experts when needed for planning, evaluation, grants program design, grant review or other similar activities associated with the administration of LSTA.

# XII. LIBRARY COMMUNITY AND USER INVOLVEMENT IN LSTA PLAN IMPLEMENTATION

The Utah State Library Division will:

- Invite the Utah library community to review and comment on the LSTA State Plan in initial stage of development and throughout the five year implementation schedule.
- Post the State Plan to the library community on the Utah Library Network Home Page (www.state.lib.ut.us)
- Use the State Library Division List for librarians from all types of libraries to submit comments, suggestions, and ideas on the Five Year Plan.
- Publish summaries of the State Plan in the State Library Division newsletter, *DIRECTIONS for Utah Libraries* and include articles on the implementation of the LSTA program, grants process, evaluations and success stories of individual and collaborative projects in issues of *DIRECTIONS* throughout the five year period.
- Hold an open discussion session at the annual Utah Library Association Conference in cooperation with the Utah LSTA Council, on the implementation, successes and concerns of the State Plan throughout the five year program.
- Mail notification of competitive LSTA grants process to every Utah Public Library, along with the LSTA Council review meeting schedule and annual grant calendar.

# XIII. STATE LSTA LIBRARY ASSURANCES

The Utah State Library Division provides the following assurances:

- It has the fiscal and legal authority and capability to administer all aspects of the LSTA
- It has the authority for establishing policies, priorities, criteria, and procedures necessary to implement all of the programs under LSTA.
- It assures that the State Plan will be submitted to the Director for approval.
- It assures that it will spend no more than 4% on administrative cost.
- It assures that it will comply with the Federal share and maintenance of effort levels described in Sec. 223 of the LSTA.

# XIV. SIGNATURE LINE

Amy Owen, Utah State Library Division DirectorDate

*Updated July 29, 1997,*

**U.S. Department of Education**
*Office of Educational Research and Improvement (OERI)*
*National Library of Education (NLE)*
*Educational Resources Information Center (ERIC)*

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