INSTITUTE of Museum and Library SERVICES

**Official Award Notification for Grants and Cooperative Agreements**

**Date of Award** April 25, 2013

| | |
|---|---|
| **Awardee Name and Address**<br>Government of Guam - Dept of Administration; Guam Public Library<br>254 Martyr Street<br>Hagatna, GU 96910 | **LSTA State Grants**<br><br>**Award Number** LS-00-13-0053-13 |
| **Authorizing Official**<br>Edward Calvo<br>P.O. Box 2950<br>Hagatna, GU 96932 | **Award Period**<br>**From** October 01, 2012<br>**To** September 30, 2014 |
| **Project Director**<br>Sandra Stanley<br>254 Martyr Street<br>Agana, GU 96910-5141 | **Total Award Amount** $ 117,625.00<br>01/16/2013 $80,658.00 Original Award<br>04/23/2013 $36,967.00 Amendment |

**Basic Award Information**

1. IMLS provides this grant support under the Library Services and Technology Act (LSTA) for the purposes of the Act (P.L. 104-208, as amended) and as identified in the grantee's Five-Year State Plan for FY2013-2017 and any forthcoming amendments approved by IMLS.
2. The grantee must request and receive IMLS' prior approval for amendments, including new or substantial changes to the goals as documented in the State's Five-Year Plan.
3. The administration of this grant and the expenditure of grant funds are subject to the guidance provided at the time of award and the guidance provided in the State Library Program Manual, posted on our Extranet. The latter document incorporates by reference the audit requirements of OMB CircularA-133 and the applicable uniform administrative requirements and cost principles promulgated by the Office of Management and Budget (See Section IV. Statutes, Regulations and IMLS Guidance).
4. The first request for payment will indicate the grantee's acceptance of the award and compliance with the LSTA statutory and regulatory requirements.

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|---|---|
| **IMLS Authorizing Official**<br>Signature<br>Laurie C Brooks | **Name and Title**<br>Laurie C. Brooks<br>Associate Deputy Director |
| **Accounting Code:**<br>**CFDA Number:** 45.310 | **TIN No. - 980018947**<br>**DUNS No. - 778904292** |

INSTITUTE of Museum and Library SERVICES

September 24, 2012

Ms. Sandra Stanley
Administrative Officer
Guam Public Library System
254 Martyr Street
Hagatna, GU 96910-5141

Dear Ms. Stanley:

I'd like to take this opportunity to congratulate you on the submission of your Five-Year Plan (FY 2013-FY 2017). We are all aware that economic changes are causing reductions in all sources of public (federal, state, local) funding for libraries while public demands for library services are increasing. Your plan outlines how Guam intends to fill the gaps by providing workforce services, afterschool programming, electronic resources, and broadband access.

With built infrastructure in nearly every community in the nation and dedicated, knowledgeable staff, I believe that State Library Administrative Agencies and their partners are positioned to connect people to one another and to the full spectrum of human experience. Your Plan demonstrates a commitment to embrace new service opportunities as changing information delivery services, platforms, and information policies create new challenges in providing critical materials, both print and digital, that are the foundation for all other services.

Most importantly, your Plan documents the need for and impact of LSTA funds in the communities you serve. It is an excellent framework for the future, and it is approved for the full five-year period.

Thank you for working with IMLS throughout this process. It is my hope that this plan will lead to an excellent evaluation five years from now. Until then, I look forward to tracking your progress and to our continued work together.

Sincerely,

Susan H. Hildreth

Susan H. Hildreth
Director
Institute of Museum and Library Services

1800 M Street NW •• 9th Floor •• Washington, DC 20036-5802 •• 202-653-IMLS (4657) •• Fax 202-653-4625 •• www.imls.gov

# Grant Cycle Calendar for FY 2013 State Grant

**States must notify IMLS and electronically submit a new Information Update form whenever any details of the LSTA Contacts have changed.**

| DATE | CALENDAR YEAR | ACTIVITY |
|---|---|---|
| 10-01 | 2012 | • FY 2013 Federal Fiscal Year Begins<br>• FY 2013 Two-Year Grant Award Period Begins<br>• FY 2013 Grant Awards will be issued after the President signs the Budget<br>• 90-day Liquidation Period Begins for Obligated FY 2011 Funds |
| 12-30 | 2012 | • FY 2011 State Program Report, Certification, and FSR due to IMLS<br>• 90-day Liquidation Period Ends for Obligated FY 2011 Funds |
| 1-06 | 2013 | • Quarterly Grant Accrual Report due for FY 2012 & FY 2013 Awards |
| 4-01 | 2013 | • If Needed – Revision of Current Five-Year Plan Due to IMLS for FY 2014 |
| 4-05 | 2013 | • Quarterly Grant Accrual Report due for FY 2012 & FY 2013 Awards |
| 7-06 | 2013 | • Quarterly Grant Accrual Report due for FY 2012 & FY 2013 Awards |
| 9-23 | 2013 | • One-Week Drawdown Suspension for End of Federal Fiscal Year Closeout |
| 9-30 | 2013 | • FY 2012 Two-Year Grant Award Period Ends<br>• FY 2013 Federal Fiscal Year Ends |
| 10-01 | 2013 | • FY 2014 Federal Fiscal Year Begins<br>• FY 2014 Two-Year Grant Award Period Begins<br>• FY 2014 Grant Awards will be issued after the President signs the Budget<br>• 90-day Liquidation Period Begins for Obligated FY 2012 Funds |
| 10-06 | 2013 | • Quarterly Grant Accrual Report due for FY 2013 Award and Amount of FY 2012 Award not obligated by 9-30-2013 |
| 12-30 | 2013 | • FY 2012 State Program Report, Certification, and FSR due to IMLS<br>• 90-day Liquidation Period Ends for Obligated FY 2012 Funds |
| 1-07 | 2014 | • Quarterly Grant Accrual Report due for FY 2013 & FY 2014 Awards |
| 4-01 | 2014 | • If Needed - Revision of Current Five-Year Plan Due to IMLS for FY 2015 |
| 4-04 | 2014 | • Quarterly Grant Accrual Report due for FY 2013 & FY 2014 Awards |
| 7-05 | 2014 | • Quarterly Grant Accrual Report due for FY 2013 & FY 2014 Awards |
| 9-21 | 2014 | • One-Week Drawdown Suspension for End of Federal Fiscal Year Closeout |
| 9-30 | 2014 | • FY 2013 Two-Year Grant Award Period Ends<br>• FY 2014 Federal Fiscal Year Ends |
| 10-01 | 2014 | • FY 2015 Federal Fiscal Year Begins<br>• FY 2015 Two-Year Grant Award Period Begins<br>• FY 2015 Grant Awards will be issued after the President signs the Budget<br>• 90-day Liquidation Period Begins for Obligated FY 2013 Funds |
| 10-04 | 2014 | • Quarterly Grant Accrual Report due for FY 2014 Award and Amount of FY 2013 Award not obligated by 9-30-2014 |
| 12-30 | 2014 | • FY 2013 State Program Report, Certification, and FSR due to IMLS<br>• 90-day Liquidation Period Ends for Obligated FY 2013 Funds |

DIPÅTTAMENTON I KAOHAO GUINAHAN CHAMORRO
**DEPARTMENT OF CHAMORRO AFFAIRS**

Honorable Edward J.B. Calvo
Governor of Guam

Joseph Artero-Cameron
President, DCA

Raymond S.Tenorio
Lieutenant Governor of Guam

June 29, 2012

Mr. James Lonergan
Senior Program Officer
Institute of Museum and Library Services
1800 M Street NW, 9th Floor
Washington, D. C. 20036-5802

Email: JLonergan@IMLS.gov

Dear Mr. Lonergan:

The Department of Chamorro Affairs a Division of the Guam Public Library System is pleased to submit its application for the LSTA Five Year Plan from 2013 through 2017.

You may contact me at (671) 475-4278, Monday through Friday from 8:00 a.m. until 5:00 p.m.

Sincerely,

Joseph Artero-Cameron
President, Department of
Chamorro Affairs

cc: Vice President, DCA
Administrative Officer, GPLS
Administrative Services Officer, DCA
Library Technician Supervisor, GPLS
Grant File, GPLS

/sms

**Guam Public Library System**
**A Division of the**
**Department of Chamorro Affairs**

# LSTA Five-Year Plan

**2013 – 2017**

**For submission to the**
**Institute of Museum and Library Services (IMLS)**

**Prepared by:**
**Employees of the Guam Public Library System**

**Guam Public Library System**
***Sisteman Laibirihan Pupleko Guåhan***

**254 Martyr Street**
**Hagåtna, Guam 96910-5141**
**Phone (671) 475-4753/4**
**Fax (671) 477-9777**

**June 2012**

## Overview

The Guam Public Library System (GPLS), a division of the Department of Chamorro Affairs conducted an assessment in February of 2012 of library services and needs of the island residents. The assessment was done in collaboration with the Government of Guam Department of Administration, and the Guam Library Association using patron surveys and staff input. Four needs were identified which are consistent with the purpose of the Library Services and Technology Act (LSTA). The four needs form the basis for our Five-Year Plan:

1. **Staff development.** GPLS employs twenty-five (25) employees, including Library Technicians, an Administrative Support Unit, Maintenance Unit, and a Bookmobile Driver. The GPLS does not currently employ a professionally qualified Library Director. All GPLS staff needs training in areas of new and innovative library operations and procedures. Professional development for staff will enhance overall operations, procedures, and customer service bringing GPLS into the 21st century; due to insufficient local funding GPLS has had limited funding to support training for GPLS employees.
2. **Marketing.** GPLS serves a very diverse community comprised of a population base representing different cultures from the region, including the Commonwealth of the Northern Marianas Islands (CNMI), the Federated States of Micronesia (comprised of Chuuk, Kosrae, Pohnpei, and Yap) Japan, Korea, the Philippines, the Republic of Palau, the Republic of the Marshall Islands, and other immigrants. An anticipated increase in library patrons due to an impending military build-up will affect our services. GPLS has one Program Coordinator who plans, oversees, and handles all literacy programs and programs for the elderly. The current Program Coordinator I is needed to continue to develop children's literacy programs, and develop more creative ways to market GPLS as a whole to better inform all island residents of the many services GPLS has to offer.
3. **Assistive technology.** GPLS lacks the necessary assistive technology equipment to serve special needs patrons. Expanding GPLS' assistive technology equipment will benefit and potentially increase service to patrons with special needs, diverse families, underserved individuals, and the elderly of Guam.
4. **Information technology upgrades.** GPLS needs to replace older, outdated computers (desktops, workstations, and laptops). Hardware, software, and technology upgrades will increase staff efficiency and streamline patron services.

## Mission

**Guam Public Library System will provide free and open access to information and ideas fundamental to a democracy to every resident of Guam, and will protect intellectual freedom, promote literacy, encourage lifelong learning, and maintain cultural materials.**

**Need #1: Improve library services to patrons by providing GPLS employees adequate training in the field of library operations, procedures and digital technology.**

**Summary Needs Assessment:**

- The current state of local funding for the Guam Public Library System (GPLS), a Division of the Department of Chamorro Affairs, has hindered the library's day-to-day operations and services, most importantly the ability to fund other needed programs that are specifically designed for staff development. Evaluating the services we are providing, and keeping all GPLS employees growing in knowledge to provide better services to meet the community's needs is essential. Staff development must be embedded into the library's strategies to empower its employees to cope with the growing information needs of our island community. Continuing education and carefully selected training opportunities enhance employee job satisfaction, morale, and motivation. Staff development will improve efficiency and encourage the learning of new information technologies and methodology. GPLS has a total of twenty-five employees (25) which consist of the following positions: 1 Library Technician Supervisor, 14 Library Technicians, 1 Building Custodian Leader, 3 Building Custodians, 1 Bookmobile Driver, 1 Administrative Aide, 1 Clerk Typist, and 1 Program Coordinator I. The Administrative Support Unit consist of 1 Administrative Officer and 1 Administrative Assistant. The need for current staff training in the field of library operations and procedures is critical. The essential role the Library Technicians perform on a day-to-day basis requires ongoing training. GPLS is challenged to provide different ways to "innovate" and "motivate" staff to enhance operations and customer services, bringing them into the 21st century.
- Currently, GPLS is a Sub-Regional Library of Hawaii's Library for the Blind and Physically Handicapped (LBPH), which is, in turn, the Regional Library for the National Library Service for the Blind and Physically Handicapped, Library of Congress (NLS). GPLS has been the Sub-Regional Library for about 30 years and no staff has been adequately trained in this area of need. In order for GPLS to carry out

the responsibilities detailed in the "Sub-lending Agency Service Agreement for Sound Reproducers and Other Reading Equipment" Guam LBPH staff need to be fully trained to ensure that all eligible persons within our designated geographical service area are properly served. It is important that the LBPH staff is knowledgeable about the various policies and procedures as the service is governed by federal law. The Hawaii NLS has recommended that a GPLS staff attend an NLS Orientation in Hawaii before attending any national conferences.

- As a tropical island, Guam encounters many disasters; typhoons have historically caused the most damage throughout the island. The Guam Public Library System (GPLS) does not have tempered glass windows, and maintenance staff is not specifically trained in disaster preparedness. Upon being notified of an approaching typhoon, all maintenance staff is tasked with securing the main library facility in Hagåtña. This 4 story facility houses the main depository of all federal and local documents, a reference section containing local and historical documents and photographs, and an audio collection. Currently, there is an ongoing program for the archiving and digitizing of the historical documents and photographs at the main library, but there is great concern for the security of these collections, which include historical documents and photographs pertaining to Guam's history. Disaster training will lessen the chance of permanent damage to these materials in the event that our main facility is breached or compromised by a natural disaster. Training and guidance in the area of conservation and preservation measures for all collections from a qualified person or organization is greatly needed to assist GPLS with the securing of our historic materials in their original formats (paper documents, photographs, and audio).
- GPLS has one Program Coordinator I position. The position was filled under the past Five Year LSTA Plan (2008-2012). The Program Coordinator I manages all GPLS programs, including communication and collaboration with other CBOs and attendance at outreach events to display and promote GPLS services, special events and programs.
- The current GPLS 2008-2012 Five-Year Plan and the GPLS Technology Plan will serve as a guide for GPLS personnel to select specific trainings, workshops, or seminars aligned with desired library service improvements. The trainings may focus on services for individuals with special needs, including the elderly; Internet safety; safety officers; facilities safety; and library programming for all ages; grant writing and management; preservation and archiving; office management and administration; library systems technology; and related topics for the improvement of a public library.
- To reduce costs, GPLS plans to provide on-site staff training. Collaborate with CBOs in the field of providing services for individuals with special needs, such as Guam Center for Excellence in Developmental Disabilities Education Research and Service

(CEDDERS), Department of Integrated Services for Individuals with Disabilities (DISID), Department of Vocational Rehabilitation, Guam Early Intervention, Guam Department of Education; Visual Impaired Program (VIP), and other interested organizations in this field.

**Goal:** To enhance daily operations by training GPLS staff in areas supporting innovative operations, procedures, and techniques.

**LSTA Purpose: (#1 & 3A)** expanding services for learning and access to information and educational resources in a variety of formats, for individuals' needs for education, life-long learning, workforce development, and digital literacy skills. **(3A)** 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.

**Key Output Targets:** *(measurement of activities, services, or products that contribute to an organization or program goal – a measure of productivity, typically shown in numbers)*

Management team will review and revise existing training opportunities by 2013 in order to provide staff with relevant and up-to-date best practices.

New formal annual training opportunities will be provided for GPLS staff to improve services that better the operations and procedures of GPLS to the public by 2014.

**Key Outcome Targets:** *(how people will benefit from goal – describe intended changes in skills, knowledge, attitudes, behaviors, and status or life condition)*

- GPLS staff will demonstrate the knowledge and skills obtained from trainings, workshops, and conferences and apply these skills to improve public services.
- GPLS staff will be able to provide management with support by procuring adequate equipment, supplies and services, to effectively function efficiently with its office, financial, personnel, grant writing, and grants management, including the support of all divisions within the Guam Public Library System.

**Program:**

- Relevant training opportunities for all GPLS staff will be researched and selected. Contracting trainer(s) for on-site professional development will be explored. Funding will be sought if off island travel is the only means to gain the desired knowledge and skills. GPLS will identify training to keep staff current with the latest 21st century operational procedures, programs, services, and procedures through communication with IMLS and public library networks. *Timeframe: 2013-2017*

- The GPLS will support one GPLS staff member to attend the orientation and training at the Hawaii Library for the Blind and Physically Handicapped. GPLS will ensure that the procedures and practices are adopted and other library staff will be trained to ensure appropriate staffs are knowledgeable about LBPH services and aware of NLS guidelines and policies. *Timeframe: 2013-2014*
- The GPLS staff receiving NLS training will develop and implement a Standard Operation Procedures (SOP). *Timeframe: 2013-2015*
- Library supervisory staff will conduct follow up assessment to ensure LBPH service improvements are taking place. *Timeframe: 2013-2017*
- The Program Coordinator I will continue to coordinate and work closely with GPLS personnel tasked with the researching of training opportunities identified by the GPLS Library Technician Supervisor and Project Director. *Timeframe: 2013-2017*
- The Program Coordinator I will monitor, manage, report on, and disseminate information about all current LSTA funded programs to the GPLS Library Technician Supervisor and GPLS Project Director. *Timeframe: 2013-2017*
- GPLS will collaborate with CBOs to identify and participate in training opportunities that will improve the operations and services of GPLS. *Timeframe: 2013-2017*
- GPLS will collaborate with CBOs to develop outreach programs for Guam's special needs populations. *Timeframe: 2013-2017*
- GPLS will provide Bookmobile and children's literacy programs to the community (preschoolers, elementary, middle, and all school aged children). *Timeframe: 2013-2017*

**Need #2: Improve children's literacy programs and services to children under the age of five (5) years.**

**Summary Needs Assessment:**

- Guam has a very diverse population, including citizens from neighboring countries who may not have utilized a library facility. This population includes English language learners and those with limited educational attainment. Guam has a high percentage of individuals and families with low socioeconomic status. These particular groups reflect the limited functional literacy or informational skills that can benefit from GPLS services. Expanded outreach services targeted towards Guam's diverse and underserved populations are necessary. Meeting with community, church, and other groups representing the various target populations is one potential outreach strategy.
- Anticipation of increased patrons from a pending military build-up on Guam will require more efforts in community awareness of the services GPLS is

able to provide for all residents. Funding issues are a major factor in not being able to have more attractive and colorful ads that promote library special events and services in the local media outlets. More creative marketing strategies are needed in order to attract all of the islands' communities to the GPLS.

- The continuation of employment of the current Program Coordinator I is essential for maintaining the research, planning, and development of new literacy programs for children focusing on early childhood development that specifically target children coming from families of different cultural backgrounds, including a reading program for children living in low income housing areas that the Bookmobile visits. The Program Coordinator I also has responsibility for continued collaboration and networking with community-based organizations (CBO) and community leaders, planning and promotion of special library events, and dissemination of program information.

**Goal:** To sustain continued patron services and literacy outreach programs to underserved individuals, diverse families, individuals with disabilities and Guam's elderly population; develop and sustain new literacy programs to target this special population, including those under the age of five (5) years; increase library profile; and the continued improvement of literacy programs.

**LSTA Purpose: (#1)** expanding services for learning and access to information and educational resources in a variety of formats, for individuals' needs for education, life-long learning, workforce development, and digital literacy skills.

**Key Output Targets:** *(measurement of activities, services, or products that contribute to an organization or program goal – a measure of productivity, typically shown in numbers)*

- Increase the dissemination of library services and materials by the community by 10% by September 2013.
- Increase the dissemination of library services through print and electronic resources to the community by 25% by September 2015.
- Increase the dissemination of library services and materials by the community by 50% by September 2017.
- Develop and sustain one new literacy program targeting individuals or families of diverse background or need by September 2014; a total of two new island-wide literacy programs targeting individuals or families of diverse background or need, including those under the age of five (5) years, will be developed and sustained by GPLS.

**Key Outcome Targets:** *(how people will benefit from goal – describe intended changes in skills, knowledge, attitudes, behaviors, and status or life condition)*

- Increase patron usage representing families of diverse background or need.
- Increase patron usage of children under the age of five (5) years.

- Increase the usage of library services and materials by the community by September 2015.
- 35% of patrons surveyed in May 2015 and 50% surveyed in May 2017 will rate the satisfaction level with their GPLS experience as good or excellent.

**Program:**

- GPLS will retain current Program Coordinator I to ensure continuity in sustaining, developing and implementing literacy programs.
- GPLS will collaborate with CBOs to implement community based literacy programs. Possible collaborating CBOs include Guam Childhood Early Intervention, Guam Department of Education; Guam Ceddars; Early Childhood Development, University of Guam; Guam Community College; Special Education Department, Guam Department of Education; Parent Information Resource Center (PIRC); Healing Hearts; Child Protective Services, Department of Public Health and Social Services; Guam Fire Department; Guam Police Department; Guam Animals in Need (GAIN) and the Juvenile Division, Superior Court of Guam and PBS Guam.
- The Project Director and key GPLS staff will collaborate with CBOs to establish different marketing ideas and strategies to better promote all services and special events that the Guam Public Library System has to offer its community.
- GPLS will implement a new literacy program for low income housing areas throughout the geographically remote areas on Guam.
- GPLS will collaborate with CBOs to promote literacy in low income housing areas and remote areas on Guam.

**Need#3: The Guam Public Library System will ensure equitable access to information resources and library services for individuals with disabilities.**

**Summary Needs Assessment:**

- The Guam Public Library System (GPLS) has sustained budget cuts and obstacles in acquiring proper funding to provide all who fall in this special group the necessary and essential materials and equipment to improve services and enhance an individual's desire for freedom and independence while visiting their public library.
- The special needs population on Guam has been growing, with a parallel increase in the number of patrons. Through the years, a growing number of visually impaired and blind inquire about and request services.

**Goal:** To increase the number of special needs patrons being served by GPLS.

**LSTA Purpose:** (#4, 5, & 6) Developing public and private partnerships with other agencies and community-based organizations (CBOs); targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds to individuals with disabilities, and to individuals with limited functional literacy or informational skills; and targeting 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 section 9902(2) of Title 42) applicable to a family of the size involved.

**Key Output Targets:** *(measurement of activities, services, or products that contribute to an organization or program goal – a measure of productivity, typically shown in numbers)*

- GPLS will conduct a thorough resource alignment by 2014 to identify what resources and services are currently available to the special needs population and which ones should be added.
- All staff will be trained on the resources and services that GPLS has to offer to the special needs population as well as ways to best serve them.

**Key Outcome Targets:** *(how people will benefit from goal – describe intended changes in skills, knowledge, attitudes, behaviors, and status or life condition)*

- Special needs population will have more resources available to them.
- Special needs population will be better informed of the available resources.
- 35% of patrons surveyed in May 2015 and 50% surveyed in May 2017 will rate the satisfaction level with their GPLS experience as good or excellent.
- Special needs population to be provided with essential library materials and equipment to access library services by 2014.

**Program:**

- GPLS will collaborate with CBOs.

**Need#4: Enable the Guam Public Library System and Bookmobile to acquire updated technology to ensure that GPLS provides programs and services that promote lifelong learning and support the development of 21st century skills.**

**Summary Needs Assessment:**

- Guam's public library is a vital community anchor institution and the resources and access services that the GPLS offers its patrons and visitors help to support literacy and lifelong learning. GPLS needs to invest in

updated information technology to help meet the growing needs of its patrons.

- The upgrading of all GPLS information technology will ensure that the employees of GPLS will have the necessary tools and equipment to better serve its community.
- The Horizon Database System was last upgraded in 2008; investing in the most current software upgrade is necessary as the database is central to the Library's day to day operations. All of the Technicians continuously utilize the Horizon Database System for their assigned duties and tasks, including circulation, reference, patron records, collection management, and collection maintenance.

**Goal:** Guam Public Library System will have upgraded hardware and software to meet the needs of library patrons and staff, and to enhance services to the community.

**LSTA Purpose:** (#1 & 7) Expanding 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, life-long learning, workforce development, and digital literacy skills; (7) developing library services that provide all users access to information through local, State, regional, national, and international collaborations and networks.

**Key Output Targets:** *(measurement of activities, services, or products that contribute to an organization or program goal – a measure of productivity, typically shown in numbers)*

- The Guam Public Library System (GPLS) website and its online catalog will be accessible from any home that has internet connectivity by 2013.
- Public courses in basic computer literacy and use of internet will be designed and provided by 2013-2017.
- By 2013, 75% of all outreach and advertising will occur over the website.
- All GPLS staff will be trained on Horizon Database System upgrades by 2014-2015.

**Key Outcome Targets:** *(how people will benefit from goal – describe intended changes in skills, knowledge, attitudes, behaviors, and status or life condition)*

- The community that partakes in any of the informative computer trainings will have a better understanding and basic knowledge of the new technology.
- The Guam Public Library System employees will be more knowledgeable with the new equipment and software upgrades.
- GPLS staff will be able to better assist patrons with circulation and reference services.
- Patrons will have more interest in using the free internet and computer services GPLS has to offer.

- 35% of patrons surveyed in May 2015 and 50% surveyed in May 2017 will rate the satisfaction level with their GPLS experience as good or excellent.

**Program:**

- The Project Director will coordinate and meet with personnel from the Department of Administration's (DOA) Data Processing Division to request an information technology assessment and recommendations for GPLS technology upgrades.
- GPLS will continue to find ways to upgrade its technology program as part of improving library services to patrons.
- The Horizon Database System will be upgraded with the latest software application.
- GPLS will provide continued training for staff on the use of new equipment, software, and cataloging procedures.
- GPLS will develop a basic computer skills class for the elderly.
- GPLS will collaborate with CBOs and government agencies.
- GPLS will review and revise Internet Use Policies, as necessary.

******

**Summary of Planning and Implementation Procedures**

The following summarizes the stakeholder involvement, communication, and monitoring procedures, which the Guam Public Library System adopted for the development, finalization and implementation of its Five-Year Plan.

Stakeholder Involvement Procedures

A planning team was established to develop the draft Five-Year Plan for the Guam Public Library System. The team consisted of members from GPLS staff and experts to guide in the development of portions of the Plan (i.e., archiving processes, technology support for the Horizon Database System).

The Plan was submitted to the President, Department of Chamorro Affairs, for final approval before submission of the Plan to IMLS.

The GPLS will be involving community stakeholders in the implementation of the Five-Year Plan. GPLS will ensure that the execution of the Five-Year Plan is coordinated with the overall plan and priorities of the GPLS. The GPLS will provide additional opportunities for library patrons to comment on the LSTA Program and its direction.

Review teams will be formed to assist in the assessment and evaluation of LSTA projects at the mid-point and end of the Five-Year Plan.

Contract with Pacific Resources for Education and Learning (PREL) for the review of data collection and tracking strategy and for the preparation and submittal of the Final Evaluation Report of the Five Year Grant (2013-2017).

Communication Procedures

The Five-Year Plan document will be periodically reviewed by the planning team members. Once the Five-Year Plan has been approved by IMLS, it will be published in print form and on the GPLS website, and made available to all public, academic, and special libraries and selected school libraries and users throughout the Plan period. Readers will be invited to email comments to the planning team leader. Any substantive revisions to the Plan, especially to the needs and goals, will be submitted to IMLS according to the provisions of the LSTA, and to appropriate stakeholders. An email will be sent, followed up with hard copy.

The GPLS will publicize achievements of important milestones and results of the Five-Year Plan as required for reporting purpose, as well as to meet stakeholder needs. The channel for communicating these achievements will be dependent on stakeholder needs. The channel for communicating these achievements will be dependent on stakeholder groups' needs and will include an appropriate combination of presentations and meetings, print and electronic media and required reports.

Monitoring Procedures

The GPLS will assign appropriate staff to systematically track implementation of the Five-Year Plan and prepare appropriate reports as required. The GPLS review team will conduct annual visits to monitor each project. Any necessary corrective action will be decided in collaboration with the stakeholders.

INSTITUTE of Museum and Library SERVICES

State: Guam

**Program Assurances for 2013 Grant Award**

All State Library Administrative Agencies receiving Library Services and Technology assistance under 20 U.S.C. § 9121 et seq., as amended, must comply with applicable statutes and regulations including but not limited to those cited below. To receive Federal assistance, all applicants must provide this signed Statement of Program Assurances.

The undersigned, on behalf of the State Library Administrative Agency (SLAA), agrees that the SLAA will comply with

(a) Pursuant to 20 U.S.C. § 9122(5), the SLAA provides assurance that it has the fiscal and legal authority and capability to administer all aspects of the LSTA, that it will establish the State's policies, priorities, criteria, and procedures necessary to the implementation of all programs under this Act (including the development of a State Plan), and that it will submit copies of these materials for approval as required by regulations promulgated by the Director of the Institute of Museum and Library Services (IMLS).

(b) Pursuant to 20 U.S.C. § 9134(b)(7), the State Library Administrative Agency provides assurance that it will comply with 20 U.S.C. § 9134(f), which sets out standards relating to Internet Safety for public libraries and public elementary school and secondary school libraries that do not receive services at discount rates under § 254(h)(6) of the Communications Act of 1934, and for which IMLS State Program funds are used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet.

(c) Pursuant to 20 § U.S.C. 9134(b)(8), the SLAA provides assurance that it shall make reports, in such form and containing such information, as the Director may require reasonably to carry out the State Plan and to determine the extent to which funds provided under this Act have been effective in carrying out the purposes of the LSTA.

(d) The SLAA agrees that it will comply with all applicable IMLS regulations, including 45 C.F.R. part 1183 – Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments; 45 C.F.R. part 1180.44 – Federal statutes and regulations on nondiscrimination; 45 C.F.R. part 1110 – Nondiscrimination in Federally Assisted Programs; 2 C.F.R. part 3185 – Nonprocurement Debarment and Suspension; and 2 C.F.R. part 3186 – Requirements for Drug-Free Workplace (Financial Assistance).

(e) The SLAA agrees that it will comply with the Federal Funding Accountability and Transparency Act (FFATA or Transparency Act – P.L. 109-282, as amended by § 6202(a) of P.L. 110-252) subaward and executive compensation reporting requirements. The SLAA further provides assurance that it will comply with all other applicable Federal statutes and regulations and OMB circulars in effect with respect to the periods for which it receives grant funding.

(f) The SLAA agrees that it will comply with the Trafficking in Persons requirement set forth in Appendix A hereto.

These assurances are provided in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed. This includes payments after such date for financial assistance approved before such date. The SLAA recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in this assurance, and that the U.S. States shall have the right to seek judicial enforcement of this Statement of Program Assurances. These assurances are binding on the SLAA, its successors, transferees, and assignees, and on the Authorized Certifying Official whose signature appears below.

For additional information on this Statement of Program Assurances, contact the IMLS State Programs Office at 1800 M Street NW, 9th Floor, Washington, DC 20036-5802.

Signature of Authorized Certifying Official

Edward B. Calvo, Governor of Guam

Print Name and Title of Authorized Certifying Official

JUN 29 2012

Date

OMB No. 3137-0071; Expiration Date: 8/31/2013

INSTITUTE of Museum and Library SERVICES

STATE: Guam

# CERTIFICATIONS REGARDING: NONDISCRIMINATION; DEBARMENT AND SUSPENSION; DRUG-FREE WORKPLACE; FEDERAL DEBT STATUS; AND LOBBYING

## 1. Nondiscrimination

The authorized representative, on behalf of the State library administrative agency (SLAA), certifies that the SLAA will comply with the following nondiscrimination statutes and their implementing regulations:

(a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which prohibits discrimination on the basis of race, color, or national origin;
(b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R part 1170 in determining compliance with § 504 as it applies to recipients of Federal assistance);
(c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and
(d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age.

## 2. Debarment and Suspension

The SLAA shall comply with 2 C.F.R part 3185. The authorized representative, on behalf of the SLAA, certifies to the best of his or her knowledge and belief that neither the SLAA nor any of its principals for the Five Year Plan:

(a) Are presently excluded or disqualified;
(b) Have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. part 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
(c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in 2 C.F.R. part 180.800(a); or
(d) Have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

Where the SLAA is unable to certify to any of the statements in this certification, the authorized representative shall attach an explanation to this form.

The SLAA, as a primary tier participant, is required to comply with 2 C.F.R. part 180 subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) as a condition of participation in the award. The SLAA is also required to communicate the requirement to comply with 2 C.F.R. part 180 subpart C (Responsibilities of Participants

Regarding Transactions Doing Business with Other Persons) to persons at the next lower tier with whom the SLAA enters into covered transactions.

**3. Drug-Free Workplace**

The authorized representative, on behalf of the SLAA, certifies, as a condition of the award, that the SLAA will or will continue to provide a drug-free workplace by complying with the requirements in 2 C.F.R. part 3186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, the SLAA as the recipient must comply with drug-free workplace requirements in subpart B of 2 C.F.R. part 3186, which adopts the Government-wide implementation (2 C.F.R. part 182) of sections 5152-5158 of the Drug-Free Workplace Act of 1988 (P. L. 100-690, Title V, Subtitle D; 41 U.S.C. §§ 701-707).

This includes, but is not limited to: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for the SLAA's employees; taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon award, or in documents that the SLAA keeps on file in its offices) all known workplaces under its Federal awards.

**4. Federal Debt Status**

The authorized representative, on behalf of the SLAA, certifies to the best of his or her knowledge and belief that the SLAA is not delinquent in the repayment of any Federal debt.

**5. Certification Regarding Lobbying Activities (Applies to Applicants Requesting Funds in Excess of $100,000) (31 U.S.C. § 1352)**

The authorized representative certifies, to the best of his or her knowledge and belief, that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the authorized representative, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352)for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the authorized representative shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(c) The authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by 31 U.S. C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The undersigned further provides assurances that it will include, as applicable, the language of the certifications in all subawards and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

Signature of Authorized Certifying Official

Edward B. Calvo, Governor of Guam

Print name and Title of Authorized Certifying Official

JUN 29 2012

Date

OMB No. 3137-0071; Expiration Date: 8/31/2013

OMB Approval No. 0348-0040

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |
|---|---|
| Edward B. Calvo JUN 29 2012 | Governor of Guam |
| APPLICANT ORGANIZATION | DATE SUBMITTED |
| Guam Public Library System | |

12-0608 GPLS/IX

INSTITUTE of Museum and Library SERVICES

State: Guam

**STATE LEGAL OFFICER'S CERTIFICATION OF AUTHORIZED CERTIFYING OFFICIAL**

I hereby certify that in

Guam

**Name of State**

Guam Public Library Sytem

**Name of State Agency**

is the official State Agency with authority under State law to develop, submit, and administer or supervise the administration of the State Plan under the Library Services and Technology Act; that

Edward B. Calvo

**(Name of Authorized Certifying Official)**

is the officer authorized to submit the State Plan, sign all assurances, certifications, and reports and to whom the grant award is made for the named State Agency; that the State Treasurer or

Treasurer of Guam

**(Title of Officer other than State Treasurer)**

has authority under State law to receive, hold, and disburse Federal funds under the State Plan; and that all provisions contained in the Plan are consistent with State law.

**Signature of Attorney General or Other State Legal Officer**

Leonardo Rapadas, Attorney General

**Print Name and Title** DCA 12-0608

6/22/12

**Date**

RECEIVED
JUN 21 2012
11:51 AM
Office of the Attorney General of Guam
Civil/Solicitor Division

OMB No. 3137-0071; Expiration Date: 8/31/2013

CF00612- 2797

INSTITUTE of Museum and Library SERVICES

FY 2013 Grant # _____

# STATE INFORMATION

**For Reporting Subawards and Executive Compensation**
(2 C.F.R Part 170 – Requirements for Federal Funding Accountability and Transparency Act Implementation; Appendix A to Part 170 – Award Term)

The person designated as the authorized certifying official for this grant (as designated on the form, State Legal Officer's Certification of the Authorized Certifying Official) is responsible for selecting, and signing one option in **both** Parts I and II.

Guam _____ (Name of State)

Guam Public Library System _____ (Name of State Agency)

**PART I. Reporting of first-tier subawards**
Complete one of the following:

A. The State DOES NOT utilize IMLS funds to (circle one):
   1) make subawards; or
   2) make awards of $25,000 or more.

_____
Signature

Edward B. Calvo, Governor of Guam
Print Name and Title

JUN 29 2012
Date

**OR**

B. The State does utilize IMLS funds to make subawards, with individual awards of $25,000 or more. The subawards will be made in _____(month, 20__). The grantee acknowledges its responsibility to track and report on the subawards within the FFATA Subaward Reporting System as outlined in guidance provided by IMLS.

_____
Signature

_____
Print Name and Title

_____
Date

**OR**

C. The State has not made a decision whether or not to utilize IMLS funds to make subawards, with individual awards of $25,000 or more. The state will resubmit this form once that decision is made.

_____
Signature

_____
Print Name and Title

_____
Date

**PART II. Reporting total compensation of recipient executives**
Complete one of the following:

A. The State meets the applicability requiring reporting of total compensation of recipient executives and will report total compensation for the preceding completed fiscal year.

_____
Signature

_____
Print Name and Title

_____
Date

**OR**

B. The State DOES NOT meets the applicability requiring reporting of total compensation of recipient executives and will NOT report total compensation for the preceding completed fiscal year.

_____
Signature
Edward B. Calvo, Governor of Guam
Print Name and Title
JUN 29 2012
Date

Mail this signed form to your Program Officer within 10 business days from date of receipt of this form.

OMB No. 3137-0071; Expiration Date: 8/31/2013

INSTITUTE of Museum and Library SERVICES

# INTERNET SAFETY CERTIFICATION FOR APPLICANT PUBLIC LIBRARIES PUBLIC ELEMENTARY AND SECONDARY SCHOOL LIBRARIES, and CONSORTIA WITH PUBLIC AND/OR PUBLIC SCHOOL LIBRARIES

As the duly authorized representative of the applicant library, I hereby certify that the library is (*check only **one** of the following boxes*)

✓ **A.** CIPA Compliant *(The applicant library has complied with the requirements of 20 U.S.C. § 9134(f)(1) et seq.*

**OR**

**B.** The CIPA requirements do not apply because no funds made available under the LSTA program are being used to purchase computers to access the Internet, or to pay for direct costs associated with accessing the Internet.

Signature of Authorized Representative

Edward B. Calvo

Printed Name of Authorized Representative

Governor of Guam

Title of Authorized Representative

JUN 29 2012

Date

Guam Public Library System

Name of Applicant Library/Program

OMB No. 3137-0071; Expiration Date: 8/31/2013

INSTITUTE of Museum and Library SERVICES

**TO:** **State Library Agency Chiefs**

**FROM:** **Susan Hildreth, IMLS Director**
**Laurie C. Brooks, Associate Deputy Director, State Programs**

**DATE:** **January 18, 2013**

**SUBJECT:** **2013 Grant Award Guidance**

**NEW OR REVISED SECTIONS FOR FY 2013**

SAM, p. 5.

**WHAT ARE MY LEGAL RESPONSIBILITIES?**

Please read this document very carefully. Failure to comply with this guidance may result in the withholding of grant funds, the suspension or termination of the grant, and/or the return of grant funds. It also may jeopardize any pending or future applications with IMLS.

In accepting the Library Services and Technology Act (LSTA) grant from the Institute of Museum and Library Services (IMLS), the grantee assumes the legal responsibility of administering the grant in accordance with the LSTA statutory and regulatory requirements. The grantee must maintain documentation which is subject to audit of all actions/expenditures affecting the grant. (See "What Records Must We Keep?," p. 5)

This guidance memo highlights some of the most significant elements that you need to know. Additional information and forms to administer this program can be found in the State Library Program Manual available on our Extranet: http://stateprograms.imls.gov/. (username: lsta / password: statepgms55)

**WHAT IS INCLUDED IN MY GRANT AWARD NOTIFICATION?**

The **Grant Award Notification** provides the amount of your allotment, the dates of the grant period, the Catalog of Federal Domestic Assistance (CFDA) number, and the assigned grant award number. Your allotment is calculated by adding the minimum base allotment plus your state's portion based on state population. Data used in the state allotment table are from the Bureau of Census and are the most current published population estimates available the first day of the federal fiscal year. We will send the allotment table with the final payment when Congress passes a budget.

**WHEN CAN WE USE THE FUNDS?**

Once issued, the Grant Award Notification identifies the two-year period within which the Grantee must carry out activities and charge costs to the award. The grant period is aligned with the beginning of the federal fiscal

year. The most recent two-year period for LSTA grants began October 1, 2012, and ends September 30, 2014. **All project activities must be completed and all funds obligated by September 30, 2014. All grant funds must be expended/liquidated and drawn down by December 30, 2014. If the State cannot meet this requirement with respect to deadlines and obligations, please contact your Program Officer for additional guidance.**

## HOW DO WE REQUEST FUNDS?

Payments of the LSTA allotment will be made on an advance or reimbursement basis according to the following conditions:

1. To receive grant funds, grantees should email a **PDF copy of the Request for Advance or Reimbursement SF-270 to the Grants Administration Office at grantsadmin@imls.gov. Do not also mail the original nor fax a copy.** If you cannot email the document in PDF format to IMLS, please contact grantsadmin@imls.gov for instructions. Grantees may request payment whenever grant funds are needed. Requests for advance payment shall be limited to the recipient's immediate cash needs. Federal funds advanced to the recipient should be fully disbursed (example: checks written, signed, and issued to the payees) within 30 days from the date the recipient receives the advance funds from IMLS. Please note section 8 of SF-270 must contain dates that fall within the two-year allotment grant period. For example, in the FY 2013 allotment grant, eligible dates for section 8 would be a specified time frame between October 1, 2012 and September 30, 2014. Payments will normally be made by the Federal Government within ten (10) working days of receipt by IMLS of the grantee's request. If you do not receive your funds within that period, or if you have other questions concerning payment requests submitted, you may contact the IMLS Office of Grants Administration at grantsadmin@imls.gov or (202) 653-4737. **List only one grant per SF-270 form**. The form is at: http://www.imls.gov/assets/1/AssetManager/sf270.pdf

2. **Grantees that are paid in advance are required to report on the status of funds received from IMLS within 30 days after an advance is received using either Section 11 or Section 12 of the Request for Advance or Reimbursement Form (SF-270).** The SF-270 form must be submitted for reporting, even if no additional funds are being requested. The next request for payment will not be approved until the outstanding advance has been fully liquidated by the recipient. Incomplete SF-270 forms may result in delayed payments.

3. Grant payments will be made by direct deposit to your designated bank account through the Department of Treasury payment system. This system is the only way to receive your grant money. Each grantee is allowed only one account in which the Department of Treasury will deposit LSTA State grant funds. **If you change your account information, you must submit a revised Automated Clearinghouse ACH enrollment form SF-3881 to the Grants Administration Office. Email the ACH form in PDF format to grantsadmin@imls.gov. Do not fax your ACH form. If you cannot email the document in PDF format to IMLS, please contact grantsadmin@imls.gov for instructions.** The form is at: http://www.imls.gov/assets/1/AssetManager/ACH.doc

4. The SF-270 must be signed by one of the two persons authorized to sign drawdowns, as indicated on the current Information Update form. If you need to change either or both of these names, submit a revised Information Update form to your Program Officer. The form is at: http://stateprograms.imls.gov/manual/II.%20D.%201%20-%20Information%20Update.pdf

5. Regarding the **Cash Management Improvement Act of 1990 (CMIA)**: While IMLS grants and awards generally do not fall under the CMIA requirement, State governments may enter into an agreement with the U.S. Treasury Department to adhere to CMIA regulations and require all its departments to comply.

## WHAT CAN WE PURCHASE?

1. Grant funds may be expended for the items identified as allowable costs in 2 CFR 225 "Cost Principles for State, Local, and Indian Tribal Governments," 2 CFR 220 (for Educational Institutions), and 2 CFR 230 (for Non-Profit Organizations) that are consistent with your award, 20 U.S.C. Subchapter II (Library Services and Technology), 45 CFR Part 1183 (IMLS Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments), and your approved LSTA Five-Year State Plan.

2. Written approval from your Program Officer is required **prior** to the purchase of equipment costing $5,000 or more per unit. Requests must detail the proposed expenditure and reference the relevant goal in your LSTA Five-Year State Plan.

3. Grant funds must be expended for the goals and objectives identified in your LSTA Five-Year State Plan that was submitted and approved by IMLS. **Grant funds cannot be expended for any changes in the program goals without prior IMLS approval.**

## CAN WE PAY SLAA STAFF WITH GRANT FUNDS?

State Library Administrative Agency (SLAA) staff may be paid with LSTA funds in proportion to the percentage that they are involved with activities that meet the LSTA priorities included in the State's Five-Year Plan. Documentation is required for those personnel costs charged to LSTA grants as well as state and local personnel costs being used for Match. (See 2 CFR 225 Appendix B.8.h.)

## HOW DO WE ACKNOWLEDGE IMLS?

You and your subgrantees must acknowledge IMLS in all related publications and activities supported with your grant money. An example acknowledgement would read: "This program was funded in part with a grant from the Institute of Museum and Library Services which administers the Library Services and Technology Act." A kit with suggestions and materials to help you and your subgrantees publicize grant activities is available at http://www.imls.gov/recipients/grantee.aspx. If you have any questions or need assistance, you may contact staff in the Office of Communications and Government Affairs at 202-653-4757.

Please send any press coverage you or any of your subgrantees may receive about this award to your Program Officer.

## WHAT FORMS ARE REQUIRED?

Note: Required certifications and assurances for FY 2013 were submitted to IMLS along with your 2013-2017 Five-Year Plan. These forms are required only if the Authorized Certifying Official has changed and you have not yet submitted updates.

**Documents to submit if you have a new Authorized Certifying Official (including Acting/Interim Chief)**

Return these documents within ten (10) business days from date of receipt of this guidance.

State Legal Officer's Certification (this certification should have the same or an earlier date than all other certifications and assurances)

Program Assurances for 2013 Grant Award

Subawards and Executive Compensation

Certifications Regarding Debarment, Suspension and Other Responsibility Matters; Drug-Free Workplace Requirements; Lobbying; Federal Debt Status; and Nondiscrimination

Assurances – Non-Construction Programs

Internet Safety Certification Form (if applicable)

Information Update
The SLAA must submit a revised Information Update form once a year and whenever there are changes in any key staff category.

**Document to submit if financial institution information changes**

ACH Payment Enrollment Form
The SLAA must submit a revised ACH Form in PDF format to grantsadmin@imls.gov if payee or financial institution information changes.

## WHAT IF WE WANT TO CHANGE OUR LSTA FIVE-YEAR STATE PLAN?

If an SLAA makes a substantive revision to its State Plan, then the SLAA must, pursuant to 20 U.S.C. §9134(a)(3), submit to IMLS an amendment to the State Plan. A change in any or all of the goals in the State Plan is considered a substantive revision. A change in your program activities does not constitute a substantive revision to your State Plan. Should the State Plan need to be revised, the SLAA shall submit to its IMLS Program Officer an amendment containing such revision no later than April 1 (e.g., April 1, 2013) of the fiscal year preceding the fiscal year (e.g., FY 2014) for which the amendment will be effective. The revision cannot be implemented until the grantee receives written approval from IMLS. Implementation of any approved change(s) cannot occur until the beginning of the fiscal year for which the amendment will be effective (e.g., October 1, 2013). Please contact your Program Officer prior to submission of the revision.

## WHAT FORMS ARE REQUIRED FOR SUBGRANTEES?

If the SLAA awards subgrants, the recipients must comply with all applicable statutes and regulations included in the following certifications and as may be otherwise required by law:

1. Civil Rights - Nondiscrimination
2. Debarment and Suspension
3. Lobbying
4. Internet Safety Certification (if applicable to the grant)

5. Trafficking in Persons

Subgrantees must also acknowledge IMLS. (See "How Do We Acknowledge IMLS?," p. 3)

## WHAT FINANCIAL MANAGEMENT SYSTEM STANDARDS MUST WE FOLLOW?

As a grantee, you must must expend and account for grant funds in accordance with your State laws and procedures for expending and accounting for the State's own funds. The fiscal control and accounting procedures of the State, as well as its subgrantees and cost-type contractors, must be sufficient to: (i) permit the preparation of IMLS reports, and (ii) permit the tracing of funds to a level of expenditures adequate to establish that such funds have not been used in violation of the restrictions and prohibitions of applicable statutes. (45 CFR §1183.20(a)).

## WHAT RECORDS MUST WE KEEP?

Grantees and subgrantees must maintain records which adequately identify the source and application of funds provided for financially-assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income (45 CFR §1183.20(b)(2)). Accounting records must be supported by such source documentation as cancelled checks, paid bills, payrolls, time and attendance records, contract and subgrant award documents, etc. (45 CFR §1183.20(b)(6)). These requirements apply to all expenditures associated with LSTA Grants to States Program, including projects (96%), administrative costs (4% cap), Match, and Maintenance of Effort. Generally, records must be kept for three years from the date the final expenditure report is submitted, or longer in certain circumstances. See 45 CFR §1183.42 and records retention schedules for LSTA & LSCA materials:
Records Retention Schedule for Grants to States Documents

## WHAT OTHER REPORTING IS REQUIRED?

**SAM.gov Registration**
As a grantee, you must maintain the currency of your information in the System for Award Management http://sam.gov (formerly CCR). This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or other guidance.

**PLEASE NOTE: Your SAM registration must be active at the time IMLS issues your grant award.**

**FFATA Subgrant Reports**
The Federal Funding Accountability and Transparency Act (FFATA) requires that information on federal awards (grants and contracts) be available to the public by a single searchable website, www.USASpending.gov. FFATA also requires grant award recipients (prime awardees) to report any subgrant greater than or equal to $25,000.00 by the end of the month following the month in which the subgrant is awarded. Within the State Grant Program, SLAAs are the prime awardees. Subgrant information input into the FFATA Subaward Reporting System (FSRS) is automatically linked to www.USASpending.gov. For additional information, please consult the Grants to States FFATA Guidance on the Extranet as well as the FSRS website: www.fsrs.gov.

SLAAs must complete the attached form, **Subawards and Executive Compensation**, indicating whether or not subgrants will be awarded. Return this form to your Program Officer.

**Quarterly Grant Accrual Reports**
Grantees must report grant accruals on a quarterly basis to IMLS. Each quarter's accrual must represent the total expenses for active grant awards that a grantee has incurred during the grant period but has not yet submitted to IMLS for reimbursement. Because two Federal FY State Grants typically overlap in the grant periods, quarterly accrual information will cover two separate active grants. Submit this information no later than four business days after the last day of the quarter. See the Grant Cycle Calendar for State Grants for due dates. At the end of each quarter, please send an email with the grant number(s) and total grant accrual amount(s) for the current award year(s) in the body of the email to LSTA-QRTAccrual@imls.gov. For additional information, please see the document, Quarterly Grant Accrual Report Guidance, on the Extranet.

**Final Reports and Requirements**
States must submit the following to close out the grant:

1. State Program Report (online)
2. Report Certification (paper copy)
3. Financial Status Report (paper copy)
4. Final request for payment (SF-270)

The State Program Report (SPR) is due no later than December 30, 2014. This web-based online report addresses the requirements of the LSTA and the Government Performance and Results Act (GRPA) and is password-accessible throughout the year over the Internet at http://spr.imls.gov/. The SPR contains program and statistical data, but two associated documents, the **Financial Status Report** and the **Report Certification,** must be sent by mail to the state's assigned Program Officer postmarked no later than **December 30, 2014,** in order to complete the Report. These two documents must be signed in blue ink by the Authorized Certifying Official. These documents are posted on the IMLS Extranet at: http://stateprograms.imls.gov. (See section II. F. Closing Out the Grant Cycle)

***If you have questions about your grant award or the enclosed information, contact your assigned Program Officer.***

***All forms of communication should reference the Grant Award number. Send your Financial Status Report and Report Certification to your Program Officer at:***

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