



FY2016 Rhode Island Public Library Annual Survey: Instructions

The Annual Survey provides a general description of your library and the services it provides to library users. It is a requirement of the application for state Grant-in-Aid (GIA) and is the primary source for statistical data about Rhode Island public libraries. The survey includes, in addition to the online data collection tool, forms to apply for GIA and for certification of appropriation and expenditure that must be printed out and signed.

Below is an overview of how to complete the survey and a description of changes and additions for this year. All annual survey documentation is available through the Rhode Island Public Library Annual Survey Portal: <https://ri.countingopinions.com/>

Contacts

Please direct any inquiries about the Annual Survey or related documents to Lauren Plews at lauren.plews@olis.ri.gov or 401-574-9305.

Direct questions about technical aspects of the Annual Survey, including login, performance or any other computer troubles that might arise, to Counting Opinions Support at 877-454-2728 or email: support@countingopinions.com.

Reporting Periods

Answer the FY2016 Annual Survey using data for the 12 month period **July, 1 2015 to June 30, 2016** with two exceptions. 1) Total Paid Employees hours per week should be reported as of the last day of the fiscal year (**June 30, 2016**) and 2) Salary and Hourly Wages should be reported as of the first day of the succeeding fiscal year (**July 1, 2016**).

Due Date

The Annual Survey and the related forms must be completed and submitted no later than 4:00 pm on **September 15, 2016**. The report is not considered complete until OLIS receives the signed paper documents and the report is submitted and locked online. To submit the online survey, click the Submit/Lock button in the upper right-hand corner to complete and lock data for the year.

Additional Documentation Required for Submittal of Annual Report

Submit all required application documents in a single envelope to OLIS, One Capitol Hill, Providence, RI 02908 or via delivery code "DSL," attention Karen Andrews. Submittal package should include the original signed documents and their attachments in the following order:

- Certification of Tax-Based Appropriation and Expenditure
- Application for Tax-Based Grant-in-Aid for Free Public Libraries
- Endowment GIA forms (applies only to libraries with endowment expenditures):
 - Certification of Endowment Value and Expenditure
 - Application for Endowment-Based Grant-in-Aid for Free Public Libraries
 - Summary document of endowment values followed by supporting documentation from bank or investment management firm.
- Standards Certification
- Standards Certification for Combined Libraries (for municipalities with more than one public library)
- Waiver(s) of Minimum Standards (one for each waiver already granted or requests for waivers pending approval)

Using the LibPAS Survey Portal to Complete the Annual Survey and Print Forms

LibPAS is the online survey tool through which the survey is made available. The Rhode Island Public Library Survey Portal is available at <https://ri.countingopinions.com/>.

Passwords and Logins

Every Rhode Island public library director is emailed a login ID and a password to access their library's Annual Survey. The director may share the library's username and password with staff to facilitate completion of the survey. However, the director is ultimately responsible for the content and submission of the Annual Survey. Only one person at a time should work online, otherwise users may overwrite each other's entries. New directors and those whose passwords have been in any way compromised are advised to request a new password to ensure the integrity of the Annual Survey data. To obtain a new password, contact Counting Opinions Support at 877-454-2728 or email: support@countingopinions.com

Navigating the Survey

In order to best navigate the survey, use the "Previous" and "Next" buttons at both the top and bottom of each survey page; do not use the "back" button on your browser. There is no need to save each page or entry, as data saves automatically.

The "Review" button will give you the option to look at the entire survey on one (long) page. You may want to use this option to check your entries before clicking "Submit/Lock."

Last year's data is displayed to the right of the data entry field for reference only, you must enter the 2016 data. If you leave a field blank, 2015 data displayed to the right of a field is not saved for the 2016 report year. To add an explanation or comment about an entry while completing the report, each item has a notes icon  for entering that information. Click on the icon and enter your note. Based on data you have entered, the system may require you to provide an explanatory note. The note should explain the data and confirm that the data being entered is correct.

Pre-filled and Calculated Fields

Some of your library data has been pre-filled and some data is calculated based on previous data entered. These fields are grey. If you see errors or have any questions contact Lauren Plews at lauren.plews@olis.ri.gov.

Valid Entries

Answer all questions that are not pre-filled or calculated; do not leave any questions blank. Either report an actual number or report an estimate if the exact data is not available. When reporting an estimate, include a note explaining the estimate.

Please use only one of the following valid entries:

- Any positive number for numeric data elements – enter the appropriate numeric data.
- N/A – indicates “We don’t know the answer, don’t collect the data, or can’t get the data right now.”
- 0 – Zero means, “We have none of this item” for numeric data (e.g., Collection form: Videos – Answer “0” because the library does not maintain a video collection).
- (000) 000-0000 – means “There is no phone.”
- 00 – indicates “The survey does not collect Square Footage of Bookmobiles.”
- no friends – means “There is no friends group, no friends chair name or no friends address.”
- nofriends@0.0 – means “There is no friends chair email address.”
- no trustee chair – means “There is no trustee chair name. There is no trustee chair address.”
- no trustee@0.0 – means “There is no trustee email address.”

Note: Upon selecting “Unavailable” or N/A on certain questions, the number “-1” may appear. This is for federal reporting purposes and indicates a negative response.

Grant-in-Aid Forms and Supporting Documents

Grant-in-Aid (GIA) forms and documents require original indelible signatures, preferably in blue ink; all GIA forms and supporting documents must be submitted with the Application for Tax-Based GIA and are required to be eligible for tax-based and endowment-based GIA. Libraries eligible for endowment-based GIA must also complete and submit the Certification of Value and Expenditure and Application for Endowment-Based GIA with the Application for Tax-Based GIA. When applying for GIA, funds must first be allocated for payment of Ocean State Libraries fees.

Printing Forms

Generate print copies of forms requiring original signatures only after all the data has been entered electronically and saved. Incorrectly entered data on a signed form will not be accepted. Printed forms containing errors, handwritten alterations, cross outs, or whiteouts will not be accepted and will be returned for correction, delaying processing of your application. Please carefully review the data in all forms – the print form and electronic form must match, otherwise, the library will be required to re-send the form with new signatures and receipt of Grant-in-Aid will be delayed.

There are two steps to print out forms:

Click the “Print Preview” link in the instructions box in each section with a form (Tax Based (TB)-GIA Cert., TB-GIA App., Endowment Based (EB)-GIA Cert., EB-GIA App, Standards Cert., Combined Standards Cert.). This will take you to a screen to review your information.

After you have reviewed your data, click the “Print” link on the green bar at the top of the page. This will download a PDF of your document for printing.

Locking Data for Submission

The button marked “Submit/Lock” on Survey pages locks data and alerts OLIS that you have submitted your survey. You will not be able to lock your data if you have unanswered questions or questions that are flagged for editing. Once you are sure your data is complete, click “Submit/Lock.” Data cannot be changed after this step. If you have locked your data and need to correct any entries, call or email Lauren Plews at lauren.plews@olis.ri.gov or 401-574-9305.

What’s New for FY2016

You will notice changes in the survey question order and flow this year. Some questions have been removed, others have been added and some have been re-ordered. The survey re-order and breakdown is described further below.

New Questions or Data Elements for FY2016

Section 1: General System Information

OSL Service Population

The data has been pre-filled and is the same population numbers used by Ocean State Libraries to determine each library system's OSL membership fees.

Section 5: Collection Usage

Physical Item Circulation (Calculated)

The total annual circulation of all physical library materials of all types, including renewals.

Note: Count all physical materials in all formats that are charged out for use outside the library. Interlibrary loan transactions included are only items borrowed for users. Do not include items checked out to another library.

Electronic Collection Usage

Several questions have been added this year which are dedicated to quantifying the usage of the electronic collections. Each library will need to quantify the usage of the electronic collections they purchased locally. The usage data for all electronic collections available through AskRI.org have been pre-entered. A separate guidance document ([FY2016EProductsInstructions](#)) has been prepared to assist in navigating how to quantify the numbers and usage of electronic materials compared to electronic collections.

Successful Retrieval of Electronic Information

The number of full-content units or descriptive records examined, downloaded, or otherwise supplied (retrieved?) to users, from online library resources that require user authentication but do not have a circulation period. Examined documents is defined as having the full text of a digital document or

electronic resource downloaded or fully displayed. Some electronic services do not require downloading as simply viewing documents is normally sufficient for user needs. Include use both inside and outside the library. Do not include use of the OPAC or library website. [based on NISO Standard Z39.7 (2013) #7.7, p. 43]

Electronic Content Use (Calculated)

The total of Circulation of Electronic Material AND Successful Retrieval of Electronic Information.

Total Circulation of Materials (Calculated)

The total of Physical Item Circulation AND Circulation of Electronic Material.

Total Collection Use (Calculated)

The total of Physical Item Circulation, Circulation of Electronic Material AND Successful Retrieval of Electronic Information.

Section 12: Certification of Endowment

In Section II, report the value of the endowment investments at the end of the calendar year (December 31) for the following years: December 31, 2014 and December 31, 2015.

This is one more year than was asked previously. This is a one-time request for two years of data which will allow for a more accurate and current comparison of endowment value and endowment expenditure.

Annual Survey Section Breakdown

The survey has been reordered and is broken out into the follow sections:

- Section 1: General System Information
 - General information about the library system as a whole
- Section 2: Outlet Information
 - Information about each physical location of the library system. Please note that even if the library system has only one location this section must be completed
- Section 3: Library Staff and Salaries
 - Breakdown of the positions within the library system
- Section 4: Library Collection
 - Information about the physical and digital holdings of the library system
- Section 5: Collection Usage
 - Information about the use of the collection
- Section 6: Services
 - Visits, reference and programming
- Section 7: Technology
 - Public computers, computer use and Wi-Fi sessions
- Section 8: Income and Expenditures
 - Library revenue sources and expenditures
- Section 9: Qualifying Questions for Grant-In-Aid
 - Questions required for GIA application, e.g., the library's long range and disaster plans
- Section 10: Certification of Tax-Based Grant-in-Aid Expenditure and Appropriation
- Section 11: Application for Tax-Based Grant-in-Aid

- Section 12: Certification of Endowment Expenditure and Value
- Section 13: Application for Endowment Grant-in-Aid
- Section 14: Standards Certification
 - Certification of compliance with Minimum Standards for RI Public Libraries

Section by Section Instructions

Section 1: General System Information

The information gathered in this section pertains to your library system as a whole. Many of these items have been prefilled from last year’s data. As noted above, please review the pre-filled data to check for any errors. The survey looks at libraries in two ways. The system or administrative entity and then the outlets or physical locations. This is the case for library systems of all sizes, including those with only one physical location.

Section 2: Outlet Information

The information gathered in this section is about each outlet or physical location that is part of a library system. While many library systems in Rhode Island only have one outlet, this section is still required.

Section 3: Library Staff and Salaries

Total Paid Employees hours per week should be reported as of the last day of the fiscal year (**June 30, 2016**.) Salary and Hourly Wages should be reported as of the first day of the succeeding fiscal year (**July 1, 2016**).

Report the total number of hours worked per week by all paid staff under each category listed. The number of Full Time Equivalents (FTEs) will automatically calculate based on a 40 hour week. You do not have to do this calculation.

Report figures as of the last day of the fiscal year **June 30, 2016**. Include all positions funded in the library's budget whether these positions are filled or not.

Each survey will start with just one or two rows for Wages. When you begin entering data into the last row, it will generate another. When you are finished, click the red “X” at the end of the unused row.

Section 4: Library Collection

Audio and video downloadable units, Ebooks. Consortially purchased (OSL) units have been pre-entered. Enter only locally purchased items, including eZone Advantage titles. Report the number of units, including duplicate/multiple copies of titles. Report only items that have been purchased, leased or licensed by the library.

Electronic Collections

Electronic collections include databases. The number of statewide electronic collections available through AskRI has been preloaded in the “state” category.” Include locally purchased electronic collections (e.g., Ancestry, Universal Class) in the “local/cooperative agreements” category.

Current Print Serial Subscriptions.

Count the number of titles the library subscribes to annually in print, not the number of issues that the library holds or receives.

Section 5: Collection Usage

Total by Format and Total by Category

Circulation totals, including renewals, are for library materials of all types. Count all materials in all formats that are charged out for use outside the library. Include interlibrary loan transactions for items borrowed for users. Do not include items checked out to other libraries. This section includes a count of circulation by category and circulation by format. The data elements, Circulation by Format and Circulation by Category, is a count of the same circulating materials using two different methods, format and category. Total Circulation by Category must equal Total Circulation by Format.

Interlibrary Loans to Other Libraries

These are library materials, or copies of the materials, provided by one autonomous library or library system to another upon request. The libraries involved in interlibrary loans are not under the same library administration; do not include materials circulated to branches or community libraries under the same administration. These data are reported as annual figures.

Interlibrary Loans from Other Libraries

These are library materials, or copies of the materials, received by one autonomous library or library system from another upon request. The libraries involved in interlibrary loans are not under the same library administration. These data are reported as annual figures.

Section 6: Services

Programs

By federal definition, programs for children are designed for those 11 years old or younger; young adults are ages 12 through 18 years old. Please apply these definitions to your library programs when you tally data for this annual survey. Note that programs are categorized by the PRIMARY audience and count in only that primary audience category. Define the programs first, and then count the attendees at the program. When counting attendance, it is not necessary to define or distinguish between the ages of attendees. Do not double count programs; include data for a program in its primary audience category only.

Section 7: Technology

Wireless (Wi-Fi) Sessions per Year

This element counts the individual sessions of use of a library's Wi-Fi service, as captured by a library's router software. There is no need to count length of sessions or type of sessions.

Section 8: Income and Expenditures

Revenue

E-Rate discount amounts should not be treated as revenue. Report any revenue minus the E-Rate discount in the appropriate revenue line.

Expenditures

E-Rate discount amounts should not be treated as expenditures. Report any expenditure minus the E-Rate discount in the appropriate expenditure lines. If the E-Rate discount is used for OSL fees (i.e., internet service) then report the expenditure for OSL fees minus the E-Rate discount under data element, Other Operating Expenditures. If the E-Rate funds are used to purchase a file server or internal

wiring for a LAN, the library may treat these expenditures as capital expenditures and subtract the discount from the cost reported. Construction (e.g., wiring) is usually treated as a capital expenditure. Local accounting practices shall determine whether a specific item is a capital or an operating expenditure. How these expenditures are defined should be consistent from year to year

E-Rate Discounts

If the library receives an E-Rate discount or reimbursement only report the amount of money the library actually spent, NOT the amount before the discount or reimbursement.

Capital Revenue

Report construction funds designated for a library project, even if not in the library budget in the Annual Survey. If unable to capture the amount for the appropriate fiscal year, for example, because it is not forthcoming from the finance office in time for the survey, then report it in the following year. Add a note explaining the circumstances.

Electronic Materials Expenditures

Do not list Overdrive or database expenditures that are part of OSL fees even if they are itemized on OSL invoices. List only expenditures on electronic materials that are not part of OSL fees.

Section 9: Qualifying Questions for Grant-in-Aid

dPlan-RI (Disaster and Preservation)

Public libraries must have a current dPlan-RI (updated in the last year) to be eligible for GIA. Beginning in 2012, OLIS has required that public library preservation and disaster preparedness plans be prepared online with dPlan-RI (<http://ri.dplan.org/>). Please contact Donna Longo DiMichele (donna.dimichele@olis.ri.gov) if you need more information about dPlan-RI.

Long Range Plan

A current Long Range Plan is required for Standards Compliance and to be eligible for GIA. Libraries that have updated or developed a new Long Range Plan since the last Annual Report must submit that plan to OLIS no later than September 15, 2016. Email Long Range Plans to Karen Andrews (karen.andrews@olis.ri.gov). The subject line of the email message should include the library's 3 letter code followed by "Long Range Plan" followed by the active years of the plan, e.g., DSL Long Range Plan, 2015-2020. In the body of the email, please include the name of the contact person for the library's Long Range Plan. The month and year when the plan begins and ends must be clearly noted on the cover page of the plan. Do not send a hard copy.

Section 10: Certification of Tax-Based Appropriation

The Certification of Tax-Based Appropriation and Expenditure requires local tax-based operating figures. It is essential that the information be correct because these figures are used to determine both eligibility for and the amount of future GIA.

GIA must be spent or encumbered by the city/town by **June 30, 2016**. Proof of encumbrance and subsequent payment must be submitted with the Annual Report. Proof of encumbrance is a copy of pending purchase order and the invoice that will be submitted for payment. Attach any proof of encumbrance to the Certification of Tax-Based Appropriation and Expenditure. Only such funds that are supported by expenditure documents (such as invoices, contracts, payroll records, etc.) at the point of

disbursement should be included. Do not report estimated costs. For Increased Service Hours, report salaries and other GIA expenditures specifically allocated to increase service hours.

GIA expenditures on the Certification of Tax-Based Appropriation and Expenditure should match the GIA allocation specified on the prior year GIA Application. The GIA allocations are pre-entered on the Certification of Tax-Based Appropriation and Expenditure from the Application for Tax-Based GIA submitted in **September 2015**. After entering data click "Print Preview" to print form.

Original signatures of each Library Director, Chair of the Board of Trustees and Municipal Finance Officer are required on the Certification of Tax-Based Grant-in-Aid. Forms containing errors, handwritten alterations, cross outs, or whiteouts will not be accepted and will be returned for correction, delaying processing of your GIA application.

Section 11: Application for Tax-Based Grant in Aid

List the allocation of GIA for library operating expenses in FY2017. GIA must first be allocated to Ocean State Libraries (OSL) fees, then the balance allocated to other categories as appropriate to the library. Eligible expenditures include operating expenditures as specified on the application including, but not limited to, staffing, programming, materials, and subscriptions; do not include capital expenditures. All funds must be expended in the grant year in accordance with the allocation listed on the GIA application. Any reallocation of funds over the grant year must be approved in advance by OLIS.

List the city/town tax-based appropriation for library operations. The local city/town tax-based appropriation entered should not include any state or federal funds.

Provide the total unique open hours per week for all the public libraries in the city/town applying for GIA.

After entering data click "Print Preview" to print form.

Original signatures of each Library Director, Chair of the Board of Trustees and Municipal Finance Officer are required on the Application for Tax-Based Grant-in-Aid. Forms containing errors, handwritten alterations, cross outs, or whiteouts will not be accepted and will be returned for correction, delaying processing of your application for GIA.

Maintenance of Effort

The Application for Tax-Based GIA and the Certification of Tax-Based Appropriation and Expenditure are used to determine Maintenance of Effort (MOE). In order to be eligible for GIA, the local city/town tax-based operating appropriation for public library services for the current year, as reported in Section II of the Application for Tax-Based GIA, must be equal to or greater than the local city/town tax-based operating appropriations and expenditures for public library services for the previous year, as reported in Section II of the Certification of Tax-Based Appropriation and Expenditure. The appropriation and expenditure amount is determined by taking the lower of the two amounts in Section II of the Certification of Tax-Based Appropriation and Expenditure. All municipalities must demonstrate MOE in order to be eligible for GIA, per Rhode Island General Law (RIGL) 29-6-3.

Section 12: Certification of Endowment

The Certification of Endowment Value and Expenditure is used to determine the amount of endowment-based GIA. Numbers submitted on this form are used to determine the amount of future endowment-based GIA and must be accurate.

In Section I enter the allocation and expenditure of Endowment-based Grant-in-Aid funds for library operations in FY2016 (**July 1, 2015 through June 30, 2016**). Only such funds that are supported by expenditure documents (such as invoices, contracts, payroll records, etc.) at the point of disbursement should be included. Do not report estimated costs.

GIA allocations on the Certification of Endowment-Based Appropriation and Expenditure should match the GIA allocation originally reported on the prior year GIA Application. The GIA allocations are pre-entered on the Certification of Endowment-Based Appropriation and Expenditure from the Application for Endowment-Based Grant-in-Aid submitted in September 2015. For Increased Service Hours, report salaries and other GIA expenditures specifically allocated to increase service hours.

In Section II, report the value of the endowment investments at the end of the calendar year (December 31) for the three previous fiscal years (**December 31, 2013, December 31, 2014, and December 31, 2015**) and the expenditure of endowment funds for library operations **between July 1, 2015 and June 30, 2016**. Attach official supporting statements from the bank or investment management firm documenting the value(s) of the endowment account(s) listed in Section II for the past two years, unless this is the first year the library is applying for endowment-based GIA. If this is the first year, submit supporting documentation for all three years; you will need to contact OLIS to enter the amount for the first year. For #234, enter the lesser of 25% of the Grant Year expenditure of endowment funds for library operations (#233) or 25% of 6% of the average market value (#231).

After entering data click "Print Preview" to print form.

The original signatures of the Library Director, Chair of the Board of Trustees, and the Library Fiscal Agent are required on the certification. The Library Fiscal Agent is the individual responsible for the accounting of the library endowment, e.g., the Treasurer for the Board of Trustees, the Library Accountant, the Town Finance Officer, etc.

Section 13: Application for Endowment Grant in Aid

In cases where there is more than one independent library in a city/town, but only one is applying for Endowment-Based GIA, only the applying library is required to enter data and sign the form. The Application for Endowment-Based Grant-in-Aid must follow the same sequence of libraries as the Application for Tax-Based GIA, i.e., the library listed as "Library B" on the Tax-Based GIA application, must be "Library B" on the Endowment-Based GIA application as well.

In Section I, list the allocation of endowment-based GIA proposed for FY2016.

After entering data click "Print Preview" to print form.

The original signatures of the Library Director, Chair of the Board of Trustees and the Library Fiscal Agent are required on the Endowment-Based GIA application for only the library(ies) in the city/town that are applying for this aid.

Section 14: Standards Certification

Standards Certification is a requirement of eligibility for GIA. Libraries are required to be in compliance at the beginning of the fiscal year in which the GIA is awarded. For FY2017 GIA, libraries must certify compliance with the Minimum Standards for Rhode Island Public Libraries (2013 edition) on July 1, 2016. Complete information regarding minimum standards is available on the OLIS website at www.olis.ri.gov/pubs/plstandards/

After entering data click “Print Preview” to print form.

A completed Standards Certification showing full compliance or approved waiver(s) must be submitted with a library’s application for GIA. Libraries submitting Standards Certification with pending waivers or that are not in full compliance with standards are not eligible for GIA. Requests for waivers should be submitted prior to July 1 of the grant year or as soon as possible prior to submission of Standards Certification but not after. Requests for waivers or questions about waivers should be directed to Karen Mellor, karen.mellor@olis.ri.gov.

An approved Request for Waiver(s) must be included with the Standards Certification for each standard that a library is unable to comply and submitted with the application for GIA by September 15, 2016. Only one standard may be addressed on each Request for Waiver form. Requests for Waivers must be submitted annually. If requesting a waiver of Standard 12, provide the name of the staff member and position in the “Reason” section of the Request for Waiver form. The Request for Waiver form is available on the OLIS website: at www.olis.ri.gov/pubs/plstandards/

Summary

OLIS understands that completing the Annual Survey requires gathering a considerable amount of data for your library and consulting with a number of individuals both inside and outside the library. OLIS Staff are available to assist you in this effort as listed below; OLIS also appreciates the support provided to public libraries by Ocean State Libraries during this process. Your attention to the details of the Annual Survey is greatly appreciated, as are any comments or suggestions. Please direct those to Lauren Plews at lauren.plews@olis.ri.gov

Contacts

Question	Who	Contact
Data Element Questions	Lauren Plews	lauren.plews@olis.ri.gov 574-9305
Disaster Plan (d-Plan) & Preservation Plan	Contact Jeremy Cutler for any login issues and Donna Longo DiMichele for questions about your plans	jeremy.cutler@olis.ri.gov 574-9306 donna.dimichele@olis.ri.gov 574-9303
Erate	Chaichin Chen	chaichin.chen@olis.ri.gov 574-9307

Interlibrary Loan Statistics	Chaichin Chen	chaichin.chen@olis.ri.gov 574-9307
Locked Data	Lauren Plews	lauren.plews@olis.ri.gov 574-9305
Long Range Plan Submission	Karen Andrews	karen.andrews@olis.ri.gov 574-9302
Paper Submission	Karen Andrews	Delivery code DSL or One Capitol Hill Providence, RI 02908-5803
Technical Issues (login, performance, etc.)	Counting Opinions	support@countingopinions.com 877-454-2728
Waiver Requests	Karen Mellor	karen.mellor@olis.ri.gov 574-9304