

## **Narrative: Expanding Public, State, Law, Prison, and Academic Library Collaboration to Serve Library Patrons Behind Bars**

Ithaka S+R requests \$115,972 for a 12-month planning grant that will support building relationships and collecting evidence for exploring how public, state, prison, academic, and law libraries can more effectively collaborate to provide services to patrons who are impacted by the criminal legal system. This National Leadership Grant will advance Goal 2: Objectives 1 and 2 by identifying the most promising collaboration opportunities between siloed library types and between libraries and Departments of Corrections with the long-term goal of fostering the development of sustainable and replicable services for system-impacted library patrons.<sup>1</sup>

The immediate objectives of our planning grant will be to 1) document challenges and solutions to catalyzing greater cross-section collaboration across library types and with the Department of Corrections (DOC) to serve the needs of system-impacted library patrons, and 2) gather evidence in order to prioritize between service concepts so that limited resources are best utilized at an implementation stage, and 3) build relationships in preparation for the implementation of a pilot service. Our long-term objective that this planning grant is helping us to prepare for is to develop and pilot wrap-around services capable of supporting the information needs of people who are currently incarcerated, their families, and that will support their reentry and community reintegration upon release.

### **1. Project Justification**

#### 1.1 Statement of National Need

America's approximately 2.2 million incarcerated people suffer from profound information needs, needs that have been compounded by systemic underfunding of the nation's libraries, which in turn has created challenges as the populations libraries serve has grown in size and complexity. Anecdotal evidence from librarians providing reference services to system-impacted people, such as that run by the New York Public Library, demonstrates the extreme thirst for information among this population, however.<sup>2</sup> As diversity, equity, and inclusion have grown more central in libraries' strategy and mission, the need to provide services to historically underserved populations, like the incarcerated population and their families, has likewise increased. Despite growing recognition of the importance of this work to libraries' mission, many libraries have not sufficiently accounted for the challenges of providing library services within and across the prison walls, nor considered how best to partner with other libraries or the Department of Corrections (DOC) to provide these services.

The growing interest within the library profession to provide services to system-impacted people has been attended by the growth and emergence of various professional communities dedicated to this topic, including the ALA interest group, Library Services to the Justice Involved (LSJI) and the Abolitionist Librarians Association (AbLA). A growing number of projects have also received grant support to map this evolving landscape, such as the recent "Expanding Information Access for Incarcerated People" initiative undertaken by the San Francisco Public Library.<sup>3</sup> Other projects, like the IMLS-funded "Reconnecting Returning Citizens with their Communities at Public Libraries" have sought to pilot

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<sup>1</sup> We define "system impacted" to mean all people whose lives have been affected by the criminal legal system. While we focus on individuals with direct experience of incarceration, we use this broader term to allow space for consideration of the needs and experiences of family and friends of incarcerated and formerly incarcerated people as well.

<sup>2</sup> Sarah Ball, Outreach Coordinator, Prison and Jail Services, personal communication.

<sup>3</sup> See project announcement:

<https://www.ala.org/news/press-releases/2022/01/san-francisco-public-library-awarded-2-million-expand-services-in-carcerated>.

library services at a system level to aid with reentry, while projects like “Are PRISON libraries Motivators of prosocial behavior and successful re-entry?” (PRISM) have sought to research the impact of such library services. The professional literature surrounding this issue is likewise growing, most notable being Jeanie Austin’s recently published *Library Services and Incarceration: Recognizing Barriers, Strengthening Access*, which concludes with a chapter on building support and developing services.<sup>4</sup> Specific, in-depth studies documenting successful implementations are nonetheless lacking, and the professional literature remains unevenly focused on public and state libraries with less emphasis on academic, law, and prison libraries. The issues of collaboration and partnership at an institutional level thus remain poorly explored and, indeed, have impacted the success of some of these very initiatives. Given the complexity of service provision in this space, developing a deep understanding of the collaboration challenges, as well as the areas of mutual interest between libraries and the DOC, is a critical first step, both for any individual project and the field as a whole.

Despite these significant challenges, libraries’ relative positions within and outside of the correctional system, and their reputations as trusted resources, mean that libraries are ideally situated to provide a suite of services to a population that suffers from profound information needs. Maintaining this trust is essential, especially in light of the fact that the system-impacted population has been historically underserved and exploited by for-profit entities. However, the starting and stopping of services, whether due to lack of sustainability planning, poor partnerships, collaboration, or otherwise, can threaten patrons’ faith in the library and their likelihood to consider it a reliable resource in the future. It is therefore critical to take a measured approach in piloting services, extreme though the need be, to ensure that the foundations of sustainability and productive partnerships are in place to support any implementation of services.

Partnerships that support diverse perspectives and bring various expertise to the table are key in any field of service, but are especially important in carceral settings because of unique and intractable challenges that face stakeholders seeking to improve the provision of services to system-impacted people. At the intersection of incarceration and libraries, public, state, prison, law, and academic libraries all serve system-impacted people, though each may approach this work with a different understanding of the goals and mission they are aiming to fulfill and often operate in isolation from each other. Opportunities to collaborate and coordinate library services are further complicated by the Department of Corrections (DOC), whose focus on security and control is antithetical to the library’s commitment to the free flow of information. That the various state DOCs are highly idiosyncratic and that policies can be enforced in widely different ways at the facility level also mean that library professionals may need to “reinvent the wheel” on a case by case basis as they seek to develop services for system-impacted people. Despite growing interest from public and academic libraries in serving this population, there is little understanding of what makes for successful collaborations with prison libraries, prison law libraries, or the DOC itself. This is compounded by the fact that prison librarians may not have professional training in librarianship and therefore their praxis may be informed by a different set of professional values and priorities. The lack of professional training also presents barriers to prison librarians developing their personal networks and connections with the wider library community. As a result, the professional isolation of prison librarians within the library field and, often, within their own DOC, further reinforces siloing and the lack of collaboration.

This planning project supports a national need for more effective collaboration between these types of libraries and DOCs so that they can offer seamless services to benefit system-impacted patrons. It will complement existing efforts to map services and connect practitioners by exploring the circumstances that make these things possible and adding depth to the existing literature. Furthermore, the revising of the

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<sup>4</sup> Austin, J. *Library Services and Incarceration: Recognizing Barriers, Strengthening Access*. Chicago: American Library Association-Neal Schuman. 2022.

American Library Association’s standards, set to take place in summer 2022,<sup>5</sup> as well as growing bi-partisan support for prison reform and increasing public awareness of mass incarceration means that we are now at a critical juncture in which libraries can expand their services to reach this chronically underserved population. By taking these initial steps, we believe that any implementation project that comes from this work will be a model for successful planning and implementation in a challenging field.

## 1.2 Target Group(s) and Beneficiaries

The primary target groups, those who will be most immediately impacted by our work at the planning grant stage, are librarians who will have a better understanding of the challenges and potential solutions to collaboration. This understanding will apply to the challenge of serving system-impacted people. Additionally, the knowledge will be transferable and generalizable in the case that librarians want to achieve higher levels of cross-sector collaboration on other topics of interest to them.

The other primary target group for the planning stage will be DOC staff, who will benefit from deepening (or in some cases initiating) partnerships with librarians. Through this project, we aim to surface areas of mutual interest and need from libraries and DOCs, and thereby target shared priorities in future implementations. Additional benefits for DOC staff (following successful implementations) may include an improved and safer prison culture, which is often associated with system-impacted people’s increased access to high quality programming, services, and connections to their communities.<sup>6</sup>

Ultimately, the most important beneficiaries of this project will be system-impacted people. At the planning grant stage, system-impacted people will benefit indirectly from the evidence this project produces insofar as librarians or DOC staff with whom they interact will be better equipped to meet their needs for information services. However, our vision for this project is to plan for an implementation phase in which a service model concept would be piloted for system-impacted people. At this future stage, system-impacted individuals would be direct beneficiaries.

## 1.3 Community Engagement

We are deeply committed to incorporating perspectives from the project’s target groups into our project to ensure that our outputs speak to their needs. At every stage of this project, we will engage with leaders, experts, and practitioners for the project’s target groups.

First and foremost, our project is structured around a series of *community calls* and *focus groups* through which we will engage directly with the project’s target groups. These calls are the *raison d’être* for our project as any work in the justice space requires dialogue to build trust with and between stakeholders and understanding of the needs, challenges, and drivers of the involved groups (see section 2.3 “Work Plan” for additional details).

Second, an *advisory committee* will provide expertise and guidance throughout the project. The role of the advisory committee will include offering guidance, advising on the methodological approach, scoping the study population in the early stages of the project, encouraging participation at key points throughout the project, reviewing project outputs, and helping to disseminate findings and deliverables. We have already secured the participation of two advisors on the project: Rachel Wexelbaum of the Minnesota Department of Corrections and Jeanie Austin, jail and reentry services librarian at the San Francisco Public Library. We intend to recruit an additional 4-5 advisors with experience in different kinds of

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<sup>5</sup> Supra n. 3.

<sup>6</sup><https://www.vera.org/blog/growing-momentum-to-expand-access-to-quality-postsecondary-education-for-people-in-prison>

library settings (e.g. academic libraries, prison libraries, law libraries, as well as directly impacted individuals who substantially engaged with libraries during and/or after incarceration).

In addition to these strategies for soliciting and incorporating feedback from the library, DOC, and system-impacted communities, we will ensure that all outputs from this project are widely disseminated to ensure near-term national impact for our project's target groups, even at the planning grant stage (see section 3.3 "Strategic Communications Plan for additional details).

## **2. Project Work Plan**

### 2.1 Project Objectives

The three immediate objectives of our planning grant will be to 1) document challenges and solutions to catalyzing greater cross-sector collaboration across library types to serve the needs of system-impacted library patrons, 2) gather evidence in order to prioritize between service concepts so that limited resources are best utilized at an implementation stage, and 3) build relationships in preparation for the implementation of a pilot service.

Additional objectives include bringing librarians of various backgrounds together to explore the potential for increased collaboration as well as bringing representatives from DOC staff together to explore their perspectives on partnership with libraries. For DOC staff, the role of collaboration is an inherently challenging topic to grapple with given that DOCs are required to prioritize issues of security and, as a result, may have views of control which are at odds with the trust and flexibility required to establish partnerships. Surfacing these fault lines will be critical as we prepare the implementation plan.

Our long-term objective that this planning grant is helping us to prepare for is to develop and pilot wrap-around services capable of supporting the information needs of people who are currently incarcerated and that will support their reentry and community reintegration upon release. However, given the logistical challenges and philosophical differences that impede effective collaboration across the prison walls, we believe it is wisest to take a measured approach to achieving this goal. We therefore propose a 12-month planning grant to build relationships and collect evidence to explore how best to design a larger project in this area. This work will include surfacing and studying examples of collaboration, best practices and barriers, hosting community meetings to surface stakeholder priorities and promising opportunities for developing collaborative services, and identifying partners.

### 2.2 Project Team

Our team's project director will be Kurtis Tanaka, Ph.D., Program Manager of Justice Initiatives at Ithaka S+R. Dr. Tanaka has led several projects on information access in carceral spaces, focusing especially on the role of technology in facilitating access to and support for educational programming. He is currently leading a project on prison media review policies and their impact on censorship and self-censorship, as well as a project on access to educational spaces in prisons. Dr. Tanaka has presented his work at a variety of conferences, including the National Conference on Higher Education in Prison, the Association of College and Research Libraries, and the Council of Directors at the Correctional Education Association. Dr. Tanaka will oversee the project team, ensure that project objectives are met and compliance with IMLS standards, and will serve as the primary point of communication with IMLS staff.

Our project will be supported by several additional Ithaka S+R staff including Danielle Cooper, Ph.D., Associate Director, who will provide methodological expertise and act as a thought partner on an as needed basis; Roger Schonfeld, Program Director, who will help promote engagement with this project among university librarians; an Ithaka S+R analyst who will support the project on a day-to-day basis by

providing project management, collecting and cleaning data, drafting emails and outputs, etc.; and Kimberly Lutz, Ph.D., Associate Director, Marketing and Communications, who will support our strategic communications plan.

### 2.3 Work Plan

**August - October 2022:** Ithaka S+R will begin by recruiting the remaining members of the advisory board, hosting a kick off meeting to discuss the project, soliciting the advisory board's guidance on the project generally, and recruitment for the community calls specifically. Following the project kick off, Ithaka S+R will conduct desk research to surface existing literature on how libraries have collaborated with external partners to identify the critical components of success, including studying other projects funded by IMLS. This will be done by searching relevant, publicly available journals and databases pertaining to library practice as well as targeted searches of the outputs and reporting of relevant grant funded projects. We will also rely on the input of the advisory board to suggest projects that may be especially important to study. In addition to an extensive review of the library literature pertaining to providing services to incarcerated and justice-impacted individuals, we will look at the wider literature concerning piloting library services in different contexts and surface any studies pertaining to collaboration and institutional partnerships, synthesizing existing research and distilling insights relevant to the carceral context. We will also build on Ithaka S+R's previous work with higher education in prison (HEP) programs that have run successful, long term programs to extrapolate relevant lessons for the library community.<sup>7</sup> Given the complexity of these college in prison programs, HEPs have developed a wealth of knowledge on how to collaborate with DOCs (though by no means are these relationships perfect), and we will explore the growing literature on HEP to identify transposable models and lessons.<sup>8</sup> The exploratory research will result in an issue brief that covers best practices and successful examples of collaboration.

**November 2022 - May 2023:** Ithaka S+R will convene a series of virtual community calls with different stakeholder groups (public, state, academic, law, and prison librarians, DOC staff), and two focus groups with system impacted individuals to further explore collaboration challenges, identify stakeholder priorities for providing services to system-impacted people (e.g. reference services, lending materials, digital literacy instruction), the most promising or likely opportunities for implementation, and respective needs of each partner to ensure success (e.g. sustainable funding, staff capacity, administrative buy-in).

The community calls will be focused on collecting insight from each stakeholder group to surface their main priorities and challenges and will be delineated as follows:

- Public Libraries
- State and Law Libraries
- Academic Libraries
- Prison Libraries and DOC staff

The four community calls will be hosted through Zoom and will be open to anyone from the relevant group who wants to join. We will recruit participants through relevant listservs, direct outreach, the

<sup>7</sup> Tanaka, Kurtis, and Danielle Cooper. "Advancing Technological Equity for Incarcerated College Students: Examining the Opportunities and Risks." Ithaka S+R. Ithaka S+R. 7 May 2020. Web. 24 September 2021. <https://doi.org/10.18665/sr.313202>. See also our current work here:

<https://sr.ithaka.org/blog/increasing-access-to-quality-educational-resources-to-support-higher-education-in-prison/> and here: <https://sr.ithaka.org/blog/understanding-educational-space-needs-in-prisons/>.

<sup>8</sup> For example: Sanders, R., et al. "HEJI Cultivating Relationships & Building Support: A Guide to College-in-Prison Program Sustainability." SUNY System Administration, 2021: [https://www.suny.edu/media/suny/content-assets/documents/education/prison-ed/HEJI-Cultivating-Relationships\\_Ly-2021\\_20210916.pdf](https://www.suny.edu/media/suny/content-assets/documents/education/prison-ed/HEJI-Cultivating-Relationships_Ly-2021_20210916.pdf).



networks of the advisors, as well as relying on ongoing work conducted by other stakeholders to map this landscape.<sup>9</sup> While it is difficult to predict participation, we will work to generate a minimum of 10 participants per call. If we receive over 50 RSVPs, we may consider hosting two calls for that stakeholder group. For public, state, and law libraries we will rely on the Library Services for the Justice Involved (LSJI) and the Abolitionist Librarians Association (AbLA) listservs and, in addition to these two listservs, we will use the higher education in prison listserv to reach academic librarians. While we will not vet registrants to ensure they are members of the relevant stakeholder group, we will ask participants to self-select. To reach prison librarians and DOC staff, we will use the above listservs as well as engaging the state education directors from the DOC, who often oversee library staff, through the Association of State and Federal Directors of Correctional Education, which hosts a monthly virtual meeting where Ithaka S+R has previously presented.

The community calls will be structured around two breakout sessions where we will break attendees into small groups (ca. 6-8) and ask them to first, brainstorm what they see as the main priorities/greatest needs in providing library services to system impacted people. In the second breakout session, we will ask participants to outline the main collaboration challenges they foresee, or have experienced, in trying to achieve those priorities as well as any potential solutions to those challenges. A representative from Ithaka S+R will be on hand in each breakout session to serve as notetaker/facilitator. The breakout rooms will then be asked to present back to the entire group of participants for general discussion. To encourage frank and honest discussion, the sessions will not be recorded, though Ithaka S+R staff will take notes of the discussions.

We will then conduct follow up meetings with 2-3 attendees from each community call in order to explore their perspectives and experiences more deeply and capture any information not suitable for sharing in a public forum. We will select attendees to follow up with based on their contributions to the community call and will also ask attendees to message us privately for follow up if they believe they cannot speak openly on the community call. These follow up meetings will likewise not be recorded, but notes will be taken. Findings from the community calls will be anonymized and written consent will be acquired under the circumstance that we would want to attribute any comment to an individual.

Rather than a community call, we will host two focus groups for system impacted individuals. The reason for this approach is to ensure sufficient attendance as well as to provide a suitable structure to be able to compensate participants for their time. To recruit 16-20 participants across two focus groups, we will rely on Ithaka S+R's network, the networks of the advisors, as well as the networks of organizations like the Formerly Incarcerated College Graduates Network (FICGN).<sup>10</sup> We will ask participants to engage in similar exercises as in the community calls, however, in addition to asking them to surface their own ideas, priorities, and needs, we will also ask them to rank the priorities surfaced in the community calls to identify which have the potential to be most impactful in the eyes of the system impacted community.

Given known challenges that system impacted individuals face accessing certain forms of technology, these individuals may face technological barriers joining the focus groups. In our logistics and communications around those logistics, we will ensure that all virtual engagements (via Zoom) will include an option to join via phone only. We will also explore the possibility of working with public and academic libraries to provide space and technology support for joining these engagements. If this

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<sup>9</sup> E.g. for academic libraries we will use the Alliance for Higher Education in Prison's directory of college programs: <https://www.higheredinprison.org/national-directory>; for other libraries, see the survey recently launched by Chelsea Jordan-Makely and Jeanie Austin:

<https://www.libraryjournal.com/?detailStory=Outside-and-In-Services-for-People-Impacted-By-Incarceration>.

<sup>10</sup> Ithaka S+R has had several conversations with FICGN's Executive Director, Terrell Blount, regarding collaborating with FICGN's network to center impacted individual's voices in our work.

challenge appears to pose significant challenges to our project, we will pivot to another method for engaging with system-impacted people, such as one-on-one interviews. As with the community calls, the focus groups will not be recorded, though notes will be taken. Findings from the focus groups will be anonymized and written consent will be acquired under the circumstance that we would want to attribute any comment to an individual.

**May 2023 - July 2023:** The community calls will result in an issue brief that covers the collaboration challenges faced by libraries and summarizes library, patron, and corrections priorities for providing services. We will host an accompanying webinar open to all stakeholder groups to report out the findings.

We will then use findings from the planning process to identify service areas where there is the greatest alignment between all stakeholder groups and choose one service to pilot in a future implementation project. To support the future piloting of this service, we will develop an implementation plan that will build on the collaboration research conducted in the first phase as well as the collaboration strategies surfaced in the community calls. We will also use the information gathered in this planning grant to recruit a partner(s) that will implement the service we develop as we progress to implementation.

## 2.4 Indicators of Success

The following metrics will be used to measure the project team's success at delivering the scope of work as described in this proposal.

- *Conformity to project timeline.* The success of the overall project will be measured in part by the extent to which project deliverables and milestones are completed in accordance with the above timeline.
- *Expert review for written deliverables.* This project includes several outputs, which will be reviewed by members of the advisory committee and external reviewers. The ability of written outputs to pass this form of review will be a measure of success and quality of those outputs.
- *Key stakeholder engagement with community calls and focus groups.* We will seek to ensure that a minimum of ten stakeholders from key stakeholder groups (i.e. public librarians, state librarians, academic librarians, prison librarians, law librarians, DOC staff, and system impacted individuals) are represented at our community calls.
- *Page view, download, and virtual attendance metrics.* The success of outputs published on Ithaka S+R's website will be evaluated through page view and download metrics and by engagements in social media.

## **3. Diversity Plan**

### 3.1 Approach to Diversity Regarding Target Groups and Beneficiaries

Through its immediate and long-term outcomes, this project is designed to support system-impacted library users and the various types of libraries that serve them, including prison, public, state, law, and academic libraries. Libraries provide those serving time, especially people who have long sentences and may be isolated from rapidly changing trends in information access and technology, with essential skills for navigating all aspects of life, and meet an urgent societal need to equip people with the information skills they need to meet their basic needs upon release.

People who experience incarceration first hand are disproportionately from under-resourced and underserved communities, low-income communities, and from Black and Hispanic communities. This project meets a monumental need to invest in the future of our society by ensuring more just and equitable access to information. While the audiences for the outputs that will result from this project include

librarians and other information science practitioners, library leaders, policymakers, and leaders and practitioners in the education sector, and staff working in DOCs (especially within the education departments of DOCs), the beneficiaries of the project are, ultimately, system-impacted people. This project will translate research on the needs of justice-involved citizens into actionable recommendations that will enable librarians and carceral staff to respond to those needs.

Beyond highlighting the important need to help libraries better serve system-impacted people, the libraries that provide these essential services are themselves underserved within the library sector – specifically prison libraries. Prison libraries are unique in that they operate within prisons and are systematically under-funded, under-resourced, and isolated from other types of libraries. The opportunity provided by this project to overcome institutional silos holds a great promise to increase flow of data and best practices between library types and make the library sector itself more inclusive.

### 3.2 Approach to Diversity Regarding Our Research Approach

Empathy and a strong desire to generate a holistic view of the challenges facing both the project beneficiaries and the target groups who serve these beneficiaries are woven deeply into the impetus and methodologies of this project

To ensure that a wide range of views and experiences are incorporated into the project results, we will engage closely with key constituents from both the target audience groups and target beneficiaries of this project. We will solicit feedback and guidance from representatives of the library sector, DOC, and formerly incarcerated people through our advisory committee and the community calls. While engaging directly with currently incarcerated individuals is extremely challenging, if possible we will also seek their input as mediated through library and higher education staff working directly with this group.

Because there may be instances in which the data we are collecting for this project may be sensitive, we have included multiple types of data collection activities, including both group and individual opportunities, to ensure that issues related to privacy or confidentiality are not barriers to participation in our project. As discussed in our data management plan, no individual data or contributions will be shared publicly, unless express permission is granted from the individual and the information is uniquely relevant to the output and broader community.

## **4. Project Results**

### 4.1 National Impact

Because we are requesting support for a planning grant, we anticipate that the impact of our project will be evident on several levels. First, the project will have immediate national impact as a result of the community calls and the publicly available issue brief. The community calls will include a nationally representative selection of library and information science professionals from public, state, prison, law, and academic libraries. These professionals do not have routine opportunities to engage with one another and therefore, these community calls will provide a direct and immediate benefit to attendees. Because some library professions, in particular those working in prison libraries, tend to be underserved within the broader librarian community, the community calls will be an especially important resource for helping these librarians build networks of professions working on a common issue that crosses institutional silos. Additional sessions for system-impacted individuals and DOC state education directors, respectively, will provide opportunities for further engagement among these key stakeholder groups. To ensure widespread impact beyond those who are able to directly engage with this project through the community calls, the planning team will publish an openly available issue brief summarizing key findings from the planning process. As described in further detail in the “Project Deliverables” section, the issue brief will share key



evidence-driven findings from original research conducted during the planning process as well as recommendations for identifying service areas and collaboration strategies.

Second, the evidence collected and relationships built through this planning grant will inform the implementation plan for piloting a service concept to serve system-impacted people. This planning project will provide space for the librarians and system impacted people to identify priorities for serving system-impacted people and how Ithaka S+R might best approach collaboration with libraries to provide those services. By bringing the relevant stakeholders together, Ithaka S+R aims to identify what services libraries can provide to meet patron needs and, critically, what services are actually possible to provide given the significant collaboration challenges that exist when working inside of prisons. By engaging all of the relevant stakeholders, especially corrections staff, we will be able to use evidence to identify where the greatest alignment of priorities exists and therefore to develop a plan to pilot a high-impact and sustainable service.

Third, the planning grant will be the first step in a long-term vision to empower libraries to more effectively serve system-impacted people. Ultimately, this planning grant is well-positioned to lead to broad impacts at the national level, within specific institutional settings, and ultimately for system-impacted library patrons as well as the librarians who serve them. The long-term goal is for libraries to offer services that are accessible to and inclusion of system-impacted people while meeting their unique information needs. Finally, identifying successful strategies for collaborating across the prison walls also has the potential for wider impact beyond libraries themselves. This research can help inform colleges, arts programs, and other community initiatives that seek to support system-impacted people, by identifying the elements of successful, sustainable collaborations.

#### 4.2 Project Deliverables

In support of the project outcomes, this planning grant will produce several outputs:

1. **Publicly available issue brief focused on the landscape review** written in accessible language and published on the Ithaka S+R website and broadly disseminated. The issue brief will discuss best practices in terms of library-library collaboration and successful examples of collaboration.
2. **Publicly available issue brief focused on disseminating evidence from community calls and focus groups** written in accessible language and published on the Ithaka S+R website and broadly disseminated. The issue brief will discuss the collaboration challenges faced by librarians providing services to system-impacted patrons, and summarizes library, patron, and corrections priorities for providing high-quality services. Included in the issue brief will be recommendations identifying service areas with the greatest potential for alignment between all stakeholder groups.
3. **Public webinar** to disseminate project findings to a broad audience. The webinar will cover similar information available through the second issue brief, and will allow community members to engage with Ithaka S+R staff and pose questions about the project and its results.
4. **Interactive strategic briefing** for IMLS staff synthesizing the results of the planning process, describing key evidence, proposing the most promising future service concepts, and presenting recommendations on strategies to promote greater collaboration across types of libraries and between libraries and the DOC. The purpose of this briefing is to ensure transparency and accountability in the planning process as well as to solicit feedback from IMLS staff on the service concept. The format for this session will be small to promote active participation. Feedback from this session will be incorporated into the final output for this planning grant, the implementation plan.
5. **Implementation plan** for a piloting a service concept, which will leverage the data-driven evidence collected through the planning process as well as incorporate the collaboration strategies surfaced in the community calls.

6. ***Strategic partnerships*** that will be necessary for the successful implementation of the pilot service concept. While Ithaka S+R is already seen as a trusted partner within the justice space, we also acknowledge that this is an incredibly complex and fraught space. Success in implementing any pilot service will depend heavily on securing the informed participation of stakeholders whose purposes may not always be aligned. Carefully researching and developing strong partnerships with librarians, DOC staff, and system-impacted people will be one of the most important outputs of this planning process.

#### 4.3 Strategic Communications Plan

Publications that result from this project will be publicly and openly accessible on the Ithaka S+R website under a CC-BY 4.0 license. Any publications related to this project will include tags that clearly identify their purpose and contents.

Through Ithaka S+R's email contact lists, we will implement a strategic communications plan to ensure the broad dissemination of publications to librarians, information science practitioners working in prisons, and with system-impacted people, higher education practitioners and faculty, policymakers, and where possible DOC staff. Additionally, we will distribute publications to practitioners and system-impacted individuals through list serves and general forums including the Library Services to the Justice Involved listserv, the Abolitionist Librarians listserv, and the higher education in prison listserv. Finally, our advisory committee will support the dissemination of project outputs and findings through their networks.

Ithaka S+R researchers will proactively seek opportunities to disseminate key project updates and findings through social media engagement, blog posts, outreach to relevant bodies (e.g. The Chief Officers of State Library Associations (COSLA)), and conference presentations, such as Association of College and Research Libraries (ACRL) and the American Library Association (ALA).

## Schedule of Completion: Expanding Collaboration to Serve Library Patrons Behind Bars

TASK	2022								2023				
	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	
<b>1</b>	<b>Planning, Preparation, and Desk Research</b>												
1.1													
1.2													
1.3													
<b>2</b>	<b>Virtual Community Calls and Follow Up Interviews</b>												
2.1													
2.2													
2.3													
2.4													
2.5													
2.6													
<b>3</b>	<b>Issue Brief</b>												
3.1													
3.2													
3.3													
3.4													
3.5													

## Data Management Plan: Expanding Public, State, Law, Prison, and Academic Library Collaboration to Serve Library Patrons Behind Bars

1. **Identify the type(s) and estimated amount of data you plan to collect or generate, and the purpose or intended use(s) to which you expect them to be put. Describe the method(s) you will use, the proposed scope and scale, and the approximate dates or intervals at which you will collect or generate data.**

Ithaka S+R will conduct desk research to summarize and synthesize existing literature on how libraries have provided services to system impacted individuals and how they have piloted services in different contexts. This will be done by searching relevant, publicly available journals and databases pertaining to library practice as well as targeted searches of the outputs and reporting of relevant grant funded projects. The literature review will help Ithaka S+R summarize research and provide insights on how public, prison, academic, and law libraries can collaborate to provide services to currently and formerly incarcerated individuals. The desk research will be compiled in .doc format.

Notes will be collected during virtual community calls, focus groups, and follow up meetings with different attendees, including representatives from public, state, academic, law, and prison libraries, DOC staff, and system impacted individuals. We will also collect identifiable information such as names, email addresses, and organizational affiliations from attendees. The virtual community calls, focus groups, and follow up interviews will not be recorded to encourage participation and honest feedback, however, we will create internal notes that summarize conversations in order to use them for analysis. Notes will be manually created in writing and transcribed in .doc format.

The goal of the desk research and interview notes is to support the development of an issue brief and implementation plan on library collaborations that can assist in servicing system impacted individuals. The data collection will be spread across August 2022 and May 2023.

2. **Will you collect any sensitive information? This may include personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information. If so, detail the specific steps you will take to protect the information while you prepare it for public release (e.g., anonymizing individual identifiers, data aggregation). If the data will not be released publicly, explain why the data cannot be shared due to the protection of privacy, confidentiality, security, intellectual property, and other rights or requirements.**

We will collect personally identifiable information such as names, email addresses, and organizational affiliations from attendees of the virtual community calls and webinar. All attendees will be only U.S. based individuals. For the virtual community calls and follow up interviews, we will inform participants that we will maintain their privacy and will not identify them in any public outputs without their consent. The interview notes will be stored in internal Ithaka S+R drives on password protected devices. Public outputs that are based on the interview notes will only be reported in the aggregate or through anonymous quotations..

3. **What technical (hardware and/or software) requirements or dependencies would be necessary for understanding retrieving, displaying, processing, or otherwise reusing the data? How can these tools be accessed (e.g., open-source and freely available, commercially available, available from your research team)?**

The desk research and interview notes will be transcribed using widely available softwares and applications such as Microsoft Office, Google Suite products, and Adobe Acrobat.

- 4. What documentation (e.g., consent agreements, data documentation, codebooks, metadata, and analytical and procedural information) will you capture or create along with the data? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the data it describes to enable future reuse?**

Ithaka S+R will give notice to participants that we will take notes during community call, focus groups, and follow up interviews in order to develop the public-facing issue brief, but all data will be anonymized and reported in aggregate. All documentation created and collected during the data collection and analysis will be stored in Ithaka S+R's cloud drive. Documentation will be stored alongside data to ensure association and enable future reuse.

- 5. What is your plan for managing, disseminating, and preserving data after the completion of the award-funded project? If relevant, identify the repository where you will deposit your data. When and for how long will data be made available to other users?**

After the completion of the project, the data may be used by the project team for future analysis, but it will not be distributed beyond the project personnel. The data will be stored by Ithaka S+R through its secure cloud storage.

- 6. When and how frequently will you review your Data Management Plan? How will the implementation be monitored?**

The data management plan will be reviewed periodically during the lifetime of the project and its implementation will be monitored by Ithaka S+R.



## **Organizational Profile: Expanding Public, State, Law, Prison, and Academic Library Collaboration to Serve Library Patrons Behind Bars**

Ithaka S+R is a service of Ithaka Harbors, Inc., a New York 501(c)(3) non-profit corporation with a mission to help the academic community use digital technologies to advance teaching and research. The other services of Ithaka Harbors include JSTOR, a digital library; Portico, a digital preservation service for scholarly content; and Artstor, a digital image library. Ithaka Harbors was originally founded in 1995 and is overseen by its Board of Trustees. It's mission as stated and approved by the Board and reflected on its annual 990 filing is to help the academic community use digital technologies to advance teaching and research

In two decades, Ithaka Harbors has launched some of the most transformative and widely used services in higher education. Our 400+ employees work closely with our user communities, day in and day out, to build and continuously improve upon these services, and to identify new opportunities to expand access to knowledge and learning. As a successful, growing organization in a demanding and dynamic environment, we challenge ourselves to retain an entrepreneurial spirit that pursues and embraces change. Ithaka Harbors is headquartered in New York, New York with additional offices in Ann Arbor, Michigan and Princeton, New Jersey and provides legal oversight and services for Artstor, also located in New York, New York. We also manage a subsidiary, Ithaka International, LLC. to expand our impact globally.

Ithaka S+R, who is the main applicant for this grant, provides research and strategic guidance to help academic and cultural communities serve the public good and navigate economic, technological, and demographic change. Our work has been instrumental in helping leaders in higher education learn from rigorous and well-designed research studies and adapt to new realities and opportunities. Our focus is on four strategic areas: expanding college access and success; providing guidance on strategic collaborations; securing access and preservation of scholarship; and developing services that meet the evolving needs of faculty and students.

We approach these different strategic areas of work with a legacy of working with universities and colleges as well as the institutions that support teaching and research—libraries, publishing organizations, cultural institutions, and scholarly societies. Headed by Catharine Bond Hill, Ithaka S+R is organized into two program areas: Libraries & Scholarly Communication and Educational Transformation.

The organizational unit that will be directly involved in carrying out the work is the Libraries, Scholarly Communication, and Museums (LSCM) program, led by Roger C. Schonfeld. The LSCM program guides libraries, publishers, and scholarly societies as they transition to the technological and economic context of the 21st century. We help partner organizations better support scholarship, instruction, and student success by empowering them to gather evidence to drive their strategic planning and service offerings. Our team has methodological expertise in survey research, ethnography, and participatory design.

The LSCM program also collaborates with Ithaka S+R's other program area, the Educational Transformation (ET) program. The ET program identifies, analyzes, and assists in the deployment of innovative strategies for improving learning outcomes and containing costs in higher education. This team designs and carries out qualitative and quantitative studies of promising initiatives in technology-enhanced education, governance, student-learning assessment, and other areas that further these goals.

More details on Ithaka S+R's mission, staff, and research can be found at <https://sr.ithaka.org/>