



Abstract

OCLC will collaborate with the Digital Public Library of America (DPLA), the Chief Officers of State Libraries Agencies (COSLA), Public Library Association (PLA), and the Association for Library Collections and Technical Services (ALCTS) on a one-year planning grant to gather information about public library participation in the national digital platform (NDP). The project will design and conduct a survey of public libraries and state library agencies that will provide a national overview of the activities related to the digitization of unique public library collections.

The available small-scale data and anecdotal information indicates that public library engagement in the NDP, though growing, is still modest. The national organizations that are partnering on this project believe that to achieve the vision of the NDP, there must be robust participation from the public library sector; yet, there is no large-scale view of the current state of digitization strategies, activities, and barriers that can inform how public library participation can be better supported.

The project will be conducted during the timeframe of November 2015 through October 2016. During this time, OCLC and project partners will design the survey instruments, issue the surveys to statistically valid samples of public libraries and state library agencies, analyze the data, and report the results through an outreach effort coordinated among the five partner organizations.

The intent of this project is to identify the extent to which public libraries have or have not digitized unique collections, the obstacles that prevent digitization, and the opportunities and partnerships that can accelerate digitization activities. The project will also explore whether and how community members are being engaged in local digitization efforts, and how underrepresented populations are being represented in these activities.

This project will result in a report with actionable data that will serve as a baseline against which to measure the success of future work to increase public library digitization activities. The project findings and recommendations will also help public libraries, funders, service providers, and state library agencies determine how to work cooperatively to support digitization of collections that will serve the information needs of people across the nation.

Assessing the Needs of Public Libraries toward Advancing the National Digital Platform

OCLC proposes to partner with the Digital Public Library of America (DPLA), the Chief Officers of State Libraries Agencies (COSLA), and the Public Library Association (PLA) and the Association for Library Collections and Technical Services (ALCTS), divisions of American Library Association, to conduct a needs assessment and gap analysis of public library digitization activities. This one-year planning project will survey public libraries and state library agencies to gauge the extent to which U.S. public libraries are positioned to support the growth of the national digital platform (NDP), primarily through the digitization of their unique collections. The resulting data and summary report will offer insights and recommendations for how public libraries, state library agencies, service providers, associations, and funders can best coordinate to measurably advance the NDP through public library participation.

Statement of Need

At its April 2015 Focus Forum, IMLS articulated the definition of the national digital platform (NDP) as “the combination of software, applications, social and technical infrastructure, and staff expertise that provides content and services to all users in the United States.” For this vision to be realized, there must be broad-scale participation by libraries, archives, and museums, and the communities they serve. *How* individual institutions choose to participate may vary, depending on local needs and capacities, but a foundational element is the digitization of unique collections. When seen through that lens, the available data and anecdotal information indicate that public library engagement in the NDP, though growing, is still modest.

In 2011, to help set the context for the “Creating a Blueprint for a National Digital Public Library” convening at the Los Angeles Public Library (funded in part by IMLS), OCLC supported a survey that was distributed to 1,751 public librarians and received 230 responses (the results of this survey are included as Supporting Document 1). The survey identified that 46% of responding public libraries had no digital strategy in place, and 41% had not yet digitized any materials. In addition, only 21% of all respondents indicated that they allow collection metadata to be harvested for reuse. Based on these and the other summary findings, public library participants at the convening expressed concern that more attention must be paid to formulating digital strategies. The resulting report compiled by OCLC, *America’s Digital Future*, stated that participants agreed that “public library attention to digital solutions and services [is] both necessary and urgent, that community needs are driving this requirement, and that public libraries can bring significant value to the effort.”¹

A visible evolution in the NDP since 2011 has been the launch of the Digital Public Library of America. The DPLA has established a national network of digital libraries to bring together digitized and born-digital content into a single access point for end users. While public library involvement in DPLA had grown to 264 of the 1,200 contributors to DPLA in 2014, this represents only 3% of U.S. public libraries.²

¹ <http://www.oclc.org/content/dam/campaign-landing-pages/en/ndpl-report.pdf>, p. 3.

² <http://www.ala.org/tools/libfactsheets/alalibraryfactsheet01>.

Other efforts to quantify library preservation activities have provided some additional, limited information on digitization activities, such as Heritage Preservation's Heritage Health Information (HHI) Survey and ALCTS' Preservation Statistics Survey.³ While the HHI provides detailed information on a significant sample of public libraries, their broad focus on preservation and care of collections does not explore the specifics of digitization. Similarly, ALCTS' survey focuses on capturing preservation statistics from a wide range of libraries; however, public libraries represented approximately 3% of the survey participants in the 2012 and 2013 surveys.⁴

The need for more data on the digitization activities of public libraries is further reinforced when the focus shifts to the state level. A review of six state library strategic Library Service and Technology Plans, ranging from 2013-2017, verifies that digital resources are identified regularly as a central component of operations (see Supporting Document 2). However, less clear is the extent to which the plans include supporting public libraries in digitizing their unique collections, and whether those activities are designed toward participation in the NDP. Some strategic plans explicitly state the intent to expand digitized collections and/or encourage collaboration across memory institutions and other state agencies to digitize collections. However, most of the plans do not refer to the kind of baseline data that would help measure success in supporting public libraries with digitizing collections. Nor do they identify the areas where public libraries need support for digitizing and making those collections accessible. Such data could prove useful to states that have made digitization activities a strategic priority.

Similarly, without comprehensive, current data to understand existing digitization needs along with the associated challenges, support mechanisms, and opportunities for digitization activities among public libraries, it remains difficult for national service providers, associations, and funders to offer an informed response to the digitization needs of public libraries. Moreover, a better understanding of the current public library position in the digitization landscape may stimulate new partnerships and coordinated initiatives to support greater participation in the NDP.

At the 2014 IMLS Focus Forum on the NDP, it was identified that "in the public library world, people still need funding for basic digitization."⁵ It was further noted at the 2015 Forum that "institutions should develop their own funding strategies to cover (preservation work through digitization) at the local level."⁶ There is evidence of public libraries supporting their own digitization efforts. For example, the Queens Borough Public Library (QBPL) in Jamaica, NY, created and funded its own initiative to digitize the roughly 150,000 discrete catalog records in its archives.⁷ Anecdotal evidence such as this indicates that it may be large, urban libraries who are most able to fund their digitization activities.

³ <http://www.heritagepreservation.org/HHI/summary.html>.

⁴ <http://www.ala.org/alcts/resources/preservation/presstats>.

⁵ http://www.imls.gov/assets/1/AssetManager/IMLSFocusNotes_NYC.pdf, p. 4.

⁶ Defining and Funding the NDP, <http://www.tvworldwide.com/events/IMLS/150428/default.cfm>.

⁷ Szeto, K. (2011), "Digitizing everything?? The launch of the digital imaging program at Queens Library." *Journal of the Library Administration & Management Section*, 7(2), pp. 5-15.

In the 2011 survey, 44% of respondents identified their own institution as the funding source for digitization projects. This survey finding would benefit from further investigation to understand how the availability of funding may relate to library size and location. Similarly, it would be helpful to verify whether and how library size and location impacts the type and scale of digitization activities. The comprehensive needs assessment and gap analysis resulting from this proposed planning project will provide baseline data against which to verify assumptions and measure future progress.

Another presumed challenge for public libraries is not having the requisite staff, skill sets, and/or technological resources to complete the workflows required to digitize unique collections and make them accessible to users beyond their patrons. In 2013, DPLA received a Bill & Melinda Gates Foundation grant for the Public Library Partnership Project, which provided digital skills training to 151 public library staff, representing 137 libraries, and connected them to state and regional resources for digitizing, describing, and exhibiting their cultural heritage content. This training was designed to reach public librarians who wanted to share their library's unique collection content with a broader audience but did not have the resources to do so. Through this work, DPLA determined there was a need for best-practices training and support for selection and digitization, and that participating public libraries had valuable content to contribute. This proposed planning project will corroborate whether DPLA's findings reflect the broader public library landscape, and if the tools and curriculum they developed could be more widely applied.

The Aspen Institute's 2014 report, *Rising to the Challenge: Re-envisioning Public Libraries*, identifies the central role of the public library in the digital age as a community center.⁸ In addition to acknowledging the work of DPLA, *Rising to the Challenge* highlights two public libraries that are, according to the report, "leading public curation projects using crowdsourcing techniques to engage online communities." These libraries are the New York Public Library and the District of Columbia Public Library. "Involving Users in the Co-Construction of Digital Knowledge in Libraries, Archives, and Museums" was the title of a 2011 issue of *Library Trends*, which illuminated a number of ways public libraries are integrating digitization activities and community engagement. CrowdConsortium provides a further example of how public libraries and other cultural heritage institutions can engage users through crowdsourcing techniques to increase what is publicly known about unique collections.⁹

The above examples illustrate both a challenge and an opportunity that accompanies digitizing unique collections and making them accessible – that of engaging the community. This theme emerged in the 2015 Forum, and its attendees acknowledged that institutional interests need to keep pace with public interest in and awareness of the evolving collections of cultural heritage institutions. The NDP presents an opportunity to engage "people who want to do something [because] they really care about this content."¹⁰ Determining how public libraries can best engage users in creating and/or enriching their digital collections requires a better understanding of how public libraries are already engaging with their communities in this work.

⁸ <http://csreports.aspeninstitute.org/documents/AspenLibrariesReport.pdf>.

⁹ <http://www.crowdconsortium.org/>.

¹⁰ Scaling up Practice, <http://www.tvworldwide.com/events/IMLS/150428/default.cfm>.

Toward that end, the project surveys will include questions related to community engagement in public libraries' digitization efforts. The findings may provide useful information to public libraries and other memory institutions who wish to pursue funding opportunities such as the National Endowment for the Humanities' Common Heritage program.¹¹

Impact

The long-term impact we seek is that more people have increased access to more content and services that will advance their knowledge and improve their lives. In support of that vision, this project will focus on outcomes that will increase the breadth of unique public library collections that can be discovered via the national digital platform. Toward that result, the project will focus on the following target audiences:

- public libraries of all sizes and locations, across the U.S.;
- state library agencies, for their perspective on statewide strategy and public library needs, as well as their position to form regional/national partnerships and support local initiatives; and
- service providers, government agencies, associations, funders, and other institutions who share the vision and support the development of the NDP.

The direct outcomes of the project will be as follows:

- the target audiences have comprehensive, actionable data on current public library activities to digitize unique collections;
- the target audiences understand the contributing factors for and against participation in digitization activities, and the relative impact of each;
- the target audiences understand how public libraries are currently positioned to participate in the NDP; and
- the target audiences are poised to develop and coordinate initiatives to increase public library participation in the NDP through digitization activities.

In support of these outcomes, this planning project will deliver two national surveys to public libraries and state library agencies that will capture comprehensive information about the current state of public library digitization activities. The data will also serve as a baseline from which future progress in the investigated areas can be measured. The findings from the surveys will inform a summary report and recommendations that will be distributed to the target audiences using a strategic and coordinated communication plan.

Project Design

Over the course of 12 months, OCLC and partners will achieve the following deliverables:

Deliverable #1: Design survey instruments

In consultation with the project partners and with support of a survey consultant, OCLC will manage the creation of the survey instruments for this project. As a library cooperative with over 16,800 members worldwide and 10,554 U.S. members, OCLC regularly surveys its members to determine how its products and services can best meet their needs. OCLC

¹¹ <http://www.neh.gov/news/press-release/2015-04-20>.

Research also possesses survey expertise, including experience directly related to this project, through its survey of special collections and archives.¹²

With input and support from DPLA, PLA, and ALCTS, OCLC will work with the consultant to design the public library survey; in consultation with COSLA, the state library agency survey. The survey will be designed to gather information on the following aspects of digitization in public libraries:

- whether libraries have digitization and preservation strategic plans;
- what types of unique collections that libraries have digitized, and what still needs to be digitized;
- the extent to which libraries are digitizing collections documenting underrepresented communities;
- the number and types of personnel dedicated to digitization, available skillsets, and perceived training needs;
- digitization workflows, how digital collections are stored and made available and accessible to everyone in the U.S., including whether digitized material is ADA compliant;
- the methods of data storage, metadata standards, and whether metadata can be harvested for reuse;
- the barriers to digitization and their relative impact;
- the types of organizations currently supporting digitization efforts (such as universities or state agencies);
- how libraries may be assisting and/or engaging other organizations in digitization activities, including collaborations with archives, museums, or historical societies; and
- whether libraries are engaging their community, including underrepresented populations, in digitization efforts.

Deliverable #2: Disseminate surveys

The public library survey will be distributed to 2,820-4,785 libraries, assuming a 20% response rate, in order to achieve a statistically valid sample that can be segmented by library size (very small, small, medium, large, and very large) and location (rural, suburban, and urban). The libraries that receive the survey will be a stratified random sample that is proportionately representative of public libraries by size and location. The target sample size for state library agencies is 51, with a required response rate of between 75%-88% to achieve statistical validity. See Supporting Document 3 for more information on the rationale for these sample sizes and participation targets. In the event that these targets are not achieved, the value of this project remains relevant in its intent to capture more comprehensive baseline data against which to track changes and progress in public library participation in the NDP over time.

Simultaneous to the survey design process and in consultation with project partners, OCLC will develop a communication and awareness-building plan towards achieving the targeted survey

¹² <http://www.oclc.org/content/dam/research/publications/library/2010/2010-11.pdf?urlm=162945>.

participation rates. OCLC will administer the public library survey through OCLC's WebJunction program, which has strong reach to the U.S. public library community. DPLA, PLA, and ALCTS will also distribute and promote the public library survey to their members and network libraries. Public library director or equivalent will be the target recipient for the survey, but any library staff member who has the requisite information to complete the survey on behalf of his or her library may do so. In order to control for duplication of survey results, OCLC will use the public library Federal State Cooperative System (FSCS) code as the unique identifier. COSLA will distribute and promote the SLA survey to state librarians.

Deliverable #3: Produce and disseminate summary findings and recommendations

With consultation from the survey consultant and project partners, OCLC will analyze the data from the respective surveys. The project team will then establish summary findings and develop recommendations from those findings. OCLC will consult with project partners to produce a public-facing report to share the summary findings and resulting recommendations.

The project's report will provide a more comprehensive national picture of public library digitization activities and the associated challenges and opportunities. When relevant, the report will also identify whether and how these challenges and opportunities may relate to public library size and location. The report will also present concrete data on a range of digitization aspects in public libraries (as outlined on the previous page).

Project recommendations will include an identification of which data points could best serve as baseline performance indicators against which to measure efforts to support public libraries in digitizing unique collections, make such collections accessible to every user in the U.S., and engage the community in digitization activities. The report will also present recommendations on the ways in which public libraries, other cultural heritage institutions, state library agencies, service providers, government agencies, associations, and funders can coordinate to support public library digitization activities.

OCLC will coordinate with project partners on developing a communication strategy for a broad and inclusive dissemination of the report and its recommendations. Each organization will leverage its existing external communication channels and networks to reach a large representation of the target audiences for this work. A key element of the dissemination plan will be a presentation by OCLC and DPLA staff at COSLA's fall 2016 annual meeting.

Project Resources: Personnel, Time, Budget

As lead applicant and grant program manager, OCLC will leverage its decades of experience producing original research, publishing reports, and managing grant-funded national-scale projects, to ensure the successful completion of project deliverables.

Lorcan Dempsey, Vice President of Research and Chief Strategist at OCLC, is the executive sponsor for the project. The project director is Sharon Streams, Senior Program Manager at OCLC, who oversees staff and strategy for grant-funded programs for public libraries. OCLC project advisors are Merrilee Proffitt, OCLC Research Senior Program Officer, and Andrew Pace, Executive Director, Networked Library Service.

The program manager is Kendra Morgan, who will oversee the survey design and distribution processes, coordinate and facilitate discussions and decisions among the partners, supervise

the survey design consultant, and oversee the development and dissemination of the project report and recommendations. Morgan brings over 11 years of experience managing grant-funded activities and project finances to this project. Budget management, financial reporting, and compliance with federal assurances will also be supported by OCLC's finance and legal departments.

OCLC is partnering with four strong national organizations that bring essential perspectives, expertise, and connections to the project:

DPLA exists to bring together the riches of America's libraries, archives, and museums and make them freely available to the world. Their commitment to and expertise with making accessible and openly available the broad array of digital content that represents human knowledge and culture is an essential ingredient to this project. DPLA's Director for Content Emily Gore and Assistant Director for Content Amy Rudersdorf will play a key role in developing the survey instruments for this project, as the survey findings will inform and guide DPLA's work with public libraries. The project budget includes travel funds for a DPLA staff member to travel and join OCLC staff for a two-day work session with the survey design consultant, as well as for a DPLA and OCLC staff member to attend the COSLA's fall 2016 annual meeting.

COSLA will assist in developing and distributing the state library survey. As the state library administrative agency responsible for providing leadership on issues of common concern and national interest to state library agencies, COSLA's participation on this project is key to representing and engaging states throughout its implementation. Similarly, COSLA's interest is driven by the recognition that the evolving NDP is of central importance to state libraries.

Driven by its commitment to advancing public library services, PLA will be focused on delivering a high rate of public library participation in the survey and ensuring that their members receive the report and recommendations from the project. ALCTS' involvement is driven by its knowledge of and commitment to supporting public library digitization activities. PLA and ALCTS have each committed to dedicating staff time to consult on each stage of the project, promote the surveys to their public library and state library members, and assist in disseminating the project report and recommendations through their respective communication channels.

DPLA Business Development Director Rachel Frick, COSLA Executive Director Timothy Cherubini, PLA Executive Director Barbara Macikas, and ALCTS Executive Director Keri Cascio have each confirmed their support of, and participation in, the proposed planning project, with letters of commitment included in this application package.

OCLC will hire the survey consultant through a competitive request for qualifications process. The survey consultant will work under the direction of the program manager to design and implement the survey process and produce the survey findings. DPLA will provide input on this selection process.

Timeline of Key Activities

November 2015-January 2016	Design of public and state library agency surveys
December 2015-February 2016	Create messaging and dissemination plan for the field to participate in the surveys
March-April 2016	Launch public library survey and collect responses*
May 2016	Launch state library agency survey and collect responses**
May-July 2016	Compile and analyze data; prepare report
August-October 2016:	Disseminate and promote report availability and findings to the field***

*This time frame was selected to coordinate the survey launch with PLA’s conference on April 5-9, 2016; DPLAfest in mid-April 2016; ALA’s Preservation Week, April 24-30, 2016; and OCLC’s 2016 CONTENTdm spring meeting.

**This time frame was selected to coordinate launch with COSLA’s spring meeting on May 4, 2016.

***This time frame was selected to coordinate launch with COSLA’s fall 2016 annual meeting.

OCLC, DPLA, PLA, COSLA, and ALCTS have enthusiastically come together to devise this proposal, and we look forward to further coordinating interests and capacities to advance library collaboration toward the national digital platform. We are grateful for the opportunity to propose this planning project, and look forward to your review.



Assessing the Needs of Public Libraries toward Advancing the National Digital Platform

Schedule of Completion: November 1, 2015 – October 31, 2016

Key Activities	11/15	12/15	1/16	2/16	3/16	4/16	5/16	6/16	7/16	8/16	9/16	10/16
Design of public and state library agency surveys	[Shaded bar spanning 11/15 to 2/16]											
Create messaging and dissemination plan for the field to participate in the surveys	[Shaded bar spanning 12/15 to 3/16]											
Launch public library survey and collect responses	[Shaded bar spanning 3/16 to 4/16]											
Launch state library survey and collect responses	[Shaded bar spanning 5/16 to 6/16]											
Compile and analyze data from surveys; prepare report	[Shaded bar spanning 5/16 to 8/16]											
Disseminate and promote report availability and findings to the field	[Shaded bar spanning 8/16 to 10/16]											

DIGITAL STEWARDSHIP SUPPLEMENTARY INFORMATION FORM

Introduction:

IMLS is committed to expanding public access to IMLS-funded research, data and other digital products: the assets you create with IMLS funding require careful stewardship to protect and enhance their value. They should be freely and readily available for use and re-use by libraries, archives, museums and the public. Applying these principles to the development of digital products is not straightforward; because technology is dynamic and because we do not want to inhibit innovation, IMLS does not want to prescribe set standards and best practices that would certainly become quickly outdated. Instead, IMLS defines the outcomes your projects should achieve in a series of questions; your answers are used by IMLS staff and by expert peer reviewers to evaluate your proposal; and they will play a critical role in determining whether your grant will be funded. Together, your answers will comprise the basis for a work plan for your project, as they will address all the major components of the development process.

Instructions:

If you propose to create any type of digital product as part of your proposal, you must complete this form. IMLS defines digital products very broadly. If you are developing anything through the use of information technology – e.g., digital collections, web resources, metadata, software, data– you should assume that you need to complete this form.

Please indicate which of the following digital products you will create or collect during your project.

Check all that apply:

	Every proposal creating a digital product should complete ...	Part I
	If your project will create or collect ...	Then you should complete ...
<input type="checkbox"/>	Digital content	Part II
<input type="checkbox"/>	New software tools or applications	Part III
<input type="checkbox"/>	A digital research dataset	Part IV

PART I.

A. Copyright and Intellectual Property Rights

We expect applicants to make federally funded work products widely available and usable through strategies such as publishing in open-access journals, depositing works in institutional or discipline-based repositories, and using non-restrictive licenses such as a Creative Commons license.

A.1 What will be the copyright or intellectual property status of the content you intend to create? Will you assign a Creative Commons license to the content? If so, which license will it be? <http://us.creativecommons.org/>

A.2 What ownership rights will your organization assert over the new digital content, and what conditions will you impose on access and use? Explain any terms of access and conditions of use, why they are justifiable, and how you will notify potential users of the digital resources.

A.3 Will you create any content or products which may involve privacy concerns, require obtaining permissions or rights, or raise any cultural sensitivities? If so, please describe the issues and how you plan to address them.

Part II: Projects Creating Digital Content

A. Creating New Digital Content

A.1 Describe the digital content you will create and the quantities of each type and format you will use.

A.2 List the equipment and software that you will use to create the content or the name of the service provider who will perform the work.

A.3 List all the digital file formats (e.g., XML, TIFF, MPEG) you plan to create, along with the relevant information on the appropriate quality standards (e.g., resolution, sampling rate, pixel dimensions).

B. Digital Workflow and Asset Maintenance/Preservation

B.1 Describe your quality control plan (i.e., how you will monitor and evaluate your workflow and products).

B.2 Describe your plan for preserving and maintaining digital assets during and after the grant period (e.g., storage systems, shared repositories, technical documentation, migration planning, commitment of organizational funding for these purposes). Please note: Storage and publication after the end of the grant period may be an allowable cost.

C. Metadata

C.1 Describe how you will produce metadata (e.g., technical, descriptive, administrative, preservation). Specify which standards you will use for the metadata structure (e.g., MARC, Dublin Core, Encoded Archival Description, PBCore, PREMIS) and metadata content (e.g., thesauri).

C.2 Explain your strategy for preserving and maintaining metadata created and/or collected during your project and after the grant period.

C.3 Explain what metadata sharing and/or other strategies you will use to facilitate widespread discovery and use of the digital content created during your project (e.g., an Advanced Programming Interface, contributions to the DPLA or other support to allow batch queries and retrieval of metadata).

D. Access and Use

D.1 Describe how you will make the digital content available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools in order to use the content).

D.2 Provide URL(s) for any examples of previous digital collections or content your organization has created.

Part III. Projects Creating New Software Tools or Applications

A. General Information

A.1 Describe the software tool or electronic system you intend to create, including a summary of the major functions it will perform and the intended primary audience(s) the system or tool will serve.

A.2 List other existing digital tools that wholly or partially perform the same functions, and explain how the tool or system you will create is different.

B. Technical Information

B.1 List the programming languages, platforms, software, or other applications you will use to create your new digital content.

B.2 Describe how the intended software or system will extend or interoperate with other existing software applications or systems.

B.3 Describe any underlying additional software or system dependencies necessary to run the new software or system you will create.

B.4 Describe the processes you will use for development documentation and for maintaining and updating technical documentation for users of the software or system.

B.5 Provide URL(s) for examples of any previous software tools or systems your organization has created.

C. Access and Use

C.1 We expect applicants seeking federal funds for software or system development to develop and release these products as open source software. What ownership rights will your organization assert over the new software or system, and what conditions will you impose on the access and use of this product? Explain any terms of access and conditions of use, why these terms or conditions are justifiable, and how you will notify potential users of the software or system.

C.2 Describe how you will make the software or system available to the public and/or its intended users.

Part IV. Projects Creating Research Data

1. Summarize the intended purpose of the research, the type of data to be collected or generated, the method for collection or generation, the approximate dates or frequency when the data will be generated or collected, and the intended use of the data collected.

2. Does the proposed research activity require approval by any internal review panel or institutional review board (IRB)? If so, has the proposed research activity already been approved? If not, what is your plan for securing approval?

3. Will you collect any personally identifiable information (PII) about individuals or proprietary information about organizations? If so, detail the specific steps you will take to protect such information while you prepare the research data files for public release (e.g. data anonymization, suppression of personally identifiable information, synthetic data).

4. If you will collect additional documentation such as consent agreements along with the data, describe plans for preserving the documentation and ensuring that its relationship to the collected data is maintained.

5. What will you use to collect or generate the data? Provide details about any technical requirements or dependencies that would be necessary for understanding, retrieving, displaying, or processing the dataset(s).

6. What documentation will you capture or create along with the dataset(s)? What standards or schema will you use? Where will the documentation be stored, and in what format(s)? How will you permanently associate and manage the documentation with the dataset(s) it describes?

7. What is the plan for archiving, managing, and disseminating data after the completion of research activity?

8. Identify where you will be publicly depositing dataset(s):

Name of repository: _____

URL: _____

9. When and how frequently will you review this data management plan? How will the implementation be monitored?


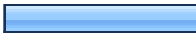


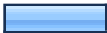






Questions and aggregated responses from OCLC’s survey to support the 2011 convening, “Creating a Blueprint for a National Digital Public Library.”

Digitizing Public Library Collections

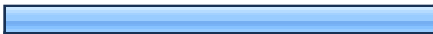







1. What is the status of your library's digitization strategy?			
		Response Percent	Response Count
Nonexistent		46.3%	106
Under discussion		31.9%	73
In draft form		8.7%	20
Approved		13.1%	30
answered question			229
skipped question			1







2. What types of unique collections have you digitized? The word "unique" refers to local collections, those that define us as individuals, whether as groups, communities, etc., and when combined represent America as a whole. These are collections that only you may own, or for which only you have the copyright. Please check all that apply.

		Response Percent	Response Count
Photographs		46.1%	95
Letters, diaries, scrapbooks or personal correspondence		28.6%	59
Newspapers		26.2%	54
Official records		21.4%	44
Audio recordings		15.0%	31
Video recordings		7.3%	15
Microfilm/fiche		12.1%	25
Maps/cartographic materials		21.8%	45
Books/monographs for which your library owns the copyright		10.2%	21
Books/monographs in the public domain		16.0%	33
None		38.8%	80
	Other (please specify)		40
answered question			206
skipped question			24

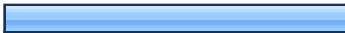






3. What is the total number of items you have digitized?

		Response Percent	Response Count
Fewer than 1,000		64.6%	122
1,001 to 5,000		16.4%	31
5,001 to 10,000		6.9%	13
10,001 to 50,000		7.4%	14
50,001 to 100,000		3.2%	6
More than 100,000		1.6%	3
answered question			189
skipped question			41

4. How did/do you fund your project(s)? Please check all that apply.

		Response Percent	Response Count
Your institution		74.3%	101
Federal grant		22.8%	31
State grant		28.7%	39
Foundation		13.2%	18
Consortium		7.4%	10
Private individual donor(s)		27.2%	37
Other (please specify)			42
answered question			136
skipped question			94




5. What criteria do you use when selecting which collections to digitize? Please check all that apply.

		Response Percent	Response Count
Patron demand		51.3%	80
Collection size		22.4%	35
Historical significance		91.0%	142
Ease of digitization		37.8%	59
Copyright issues		42.9%	67
In-house expertise		30.1%	47
Potential partnerships		29.5%	46
	Other (please specify)		34
answered question			156
skipped question			74

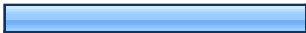






6. How many people are dedicated to digitization at your library?

		Response Average	Response Total	Response Count
	FTE	1.71	228	133
	Library contract personnel (contractors who work in the library)	0.25	17	69
	Volunteers	1.08	100	93
	Interns	0.42	27	65
	Outsourced (personnel who digitize off-site)	0.66	43	65
answered question				148
skipped question				82



7. How do you store your data? Please check all that apply.

		Response Percent	Response Count
Store in-house		83.7%	118
Store off-site		28.4%	40
Shared data storage		20.6%	29
	Other (please specify)		29
answered question			141
skipped question			89

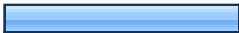





8. What metadata standards, if any, do you use?

		Response Percent	Response Count
MARC		45.3%	48
Dublin Core		52.8%	56
NISO MIX		0.0%	0
EAD		9.4%	10
MODS		2.8%	3
METS		1.9%	2
PREMIS		0.9%	1
VRA CORE		0.0%	0
Self-developed		26.4%	28
	Other (please specify)		32
answered question			106
skipped question			124






9. Do you allow your collection metadata to be harvested for reuse, such as by contributing your metadata to OCLC?

		Response Percent	Response Count
Yes		36.8%	49
No		63.2%	84
answered question			133
skipped question			97




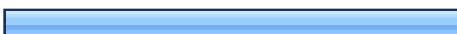
**10. What platform(s) are you using to provide public access to your digitized collections?
Please check all that apply.**

		Response Percent	Response Count
CONTENTdm		35.1%	39
InMagic		1.8%	2
ILS		20.7%	23
Other vendor solution		18.9%	21
Homebuilt solution		33.3%	37
Social sites (blogs, photo sharing sites, wikis, etc.)		33.3%	37
	Other (please specify)		41
		answered question	111
		skipped question	119





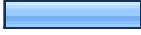

11. How do you make your digitized collections accessible? Please check all that apply.

		Response Percent	Response Count
In-library use only		36.3%	49
Your library's website		66.7%	90
Your consortium's website		11.9%	16
Statewide website		25.2%	34
National organization's website (eg., IMLS aggregation portal)		3.0%	4
Other (please specify)			40
answered question			135
skipped question			95





12. Is your digitized material ADA compliant?

		Response Percent	Response Count
Yes, entirely		5.8%	8
Yes, partly		15.9%	22
No		9.4%	13
I don't know		68.8%	95
Comments:			21
answered question			138
skipped question			92






13. In general, how do you license your digitized materials? Please check all that apply.

		Response Percent	Response Count
Research/personal use only		37.5%	45
Commercial reproduction (rights licensing)		16.7%	20
None if in public domain		60.8%	73
Creative Commons licenses		4.2%	5
Fee for Use		20.0%	24
Fair Use only		20.0%	24
	Other (please specify)		30
		answered question	120
		skipped question	110






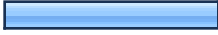



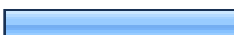

14. Do you have a strategy for maintaining public access to your digitized collections as technologies evolve?

		Response Percent	Response Count
Nonexistent		56.5%	100
Under discussion		35.0%	62
In draft form		4.5%	8
Approved		4.0%	7
		answered question	177
		skipped question	53


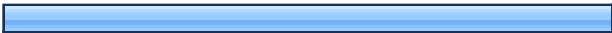



15. What percentage of your unique collections is in need of digitization?

		Response Percent	Response Count
0 to 20%		31.9%	60
21 to 40%		15.4%	29
41 to 60%		6.4%	12
61 to 80%		10.1%	19
81 to 100%		36.2%	68
answered question			188
skipped question			42










16. What parts of your unique collections have you not been able to digitize? Please check all that apply.

		Response Percent	Response Count
Maps/cartographic materials		46.6%	75
Photographs		43.5%	70
Letters, diaries, scrapbooks or personal correspondence		48.4%	78
Newspapers		53.4%	86
Official records		34.2%	55
Audio recordings		31.7%	51
Video recordings		28.0%	45
Microfilm/fiche		36.0%	58
Books/monographs for which your library owns the copyright		21.1%	34
Books/monographs in the public domain		34.8%	56
None		14.3%	23
	Other (please specify)		26
		answered question	161
		skipped question	69

17. What are the barriers that prevent you from digitizing your unique collections?

		Response Percent	Response Count
Inadequate technology or equipment		73.6%	148
Insufficient staff time		91.5%	184
Insufficient staff training/expertise		61.7%	124
Lack of experience with applying for and administering grants		28.4%	57
Rights management issues		29.4%	59
	Other (please specify)		51
answered question			201
skipped question			29

18. Please provide your library's name and zip code. Only that information is required, but if you want to be considered for conference attendance, please provide your contact information as well

		Response Percent	Response Count
Name:		63.9%	147
Library:		100.0%	230
Address:		67.4%	155
Address 2:		10.4%	24
City/Town:		71.3%	164
State:		80.4%	185
Zip code:		100.0%	230
Population served:		69.1%	159
Email Address:		65.7%	151
		answered question	230
		skipped question	0

Review of State Library Service and Technology Plans

All resources last accessed on May 28, 2015

Arkansas State Library's 2013-2017 LSTA Five-Year State Plan

<http://www.ims.gov/assets/1/AssetManager/ARplan2012.pdf>

Identifies the digitization of resources as a central focus of Goal 2 – Resource Sharing, and the following activities and performance measure:

- Create a digitization consortium to develop, promote, and support guidelines for digital content creation, access, and management, based on national standards.
- Identify collections and storage needs for digitization in libraries and agencies.
- Investigate the feasibility of the creation of a new Digital Services Librarian position.
- Provide training in digitization, while incorporating developed guidelines that follow national standards.
- By year 4 and 5 have 10% of identified collections digitized according to developed guidelines and procedures.

Arizona's Library Services and Technology Act Plan 2013-2017

<http://www.ims.gov/assets/1/AssetManager/AZplan2012.pdf>

Identifies its digital resources as one of the numerous tools it uses to achieve its goals.

Iowa Library Services Strategic Plan FY13-FY17

<http://www.statelibraryofiowa.org/about/sp/fy15SP>

Includes the following objective and strategy in relation to digitization activities:

- Improve access to and add additional collection to Iowa Heritage Digital Collections.
- Digitize original Iowa constitution, explore joint digitization projects with other state agencies; host at least 9 art exhibits, update appearance and navigation of Iowa Library Services' website.

New York State Library's Strategic Plan 2013-2017

<http://www.ims.gov/assets/1/AssetManager/NYplan2012.pdf>

Identifies digitization efforts through an activity associated with a key strategy and a performance indicator associated with a strategic goal:

- Strategic activity: Participate in regional, state, and national initiatives to expand public access through libraries to the digital holdings of New York libraries and other cultural institutions.
- Performance indicator: By 2017, the number of participants contributing to the dark archive for audio digitization projects maintained by the State Library will increase by 5 percent.

State Library of Ohio's Strategic Plan 2013-2017

<http://www.ims.gov/assets/1/AssetManager/OHplan2012.pdf>

Identifies the following digitization objectives:

- The State Library will increase the amount of internal materials in its Ohio Memory collections by 10% per year.
- The State Library will participate and provide leadership to groups interested in digital content and will encourage libraries to collaborate and partner with museums, historical societies, and other repositories of cultural heritage documents in their communities.

South Dakota State Library Strategic Plan 2014-2018

<http://library.sd.gov/SDSL/publications/DOC/PLN-StrategicPlan-20142018.pdf>

Has a specific focus in its vision on the digitization of specialized collections and state publications with an emphasis on the digitization of state publications.

Rationale for Public Library and State Library Agency National Digital Platform Surveys

The following tables provide an overview of the rationale behind the survey sample and participation targets for the public library and state library agency National Digital Platform (NDP) surveys. Peggy Gallagher, OCLC’s Manager of Market Analysis, Library Services for Americas served as the survey expert for the proposal development phase of this project.

The optimal and minimal targets referenced in the tables below are based on achieving the confidence levels and confidence intervals recommended by this project’s survey expert. The optional targets are secondary alternatives to the recommended optimal and minimal targets. The public library survey targets are also based on the objective of achieving a statistically valid sample that can be segmented by size (very small, small, medium, and large) and location (rural, suburban, and urban). These numbers were arrived at using the 2012 IMLS Public Library Survey data and definitions. The sample for the public library survey will be a stratified random sample (stratified by size) so that it is proportionately representative of public libraries by size and locale.

The following tables and targets were developed with the above objectives in mind.

Public Library NDP Survey Targets				
U.S. Public Libraries (n=9,305)				
	Confidence Level	Confidence Interval	Completed survey responses needed overall	Sample size needed to send invitation to (assumes 20% response rate)
Optimal Targets	95%	+/- 3%	957	4,785
Minimal Targets	95%	+/-4%	564	2,820
Option 1	95%	+/- 5%	369	1,845
Option 2	95%	+/- 7%	192	960
Option 3	90%	+/- 5%	265	1,325
Option 4	90%	+/- 7%	137	685
Option 5	95%	+/- 10%	95	475
Option 6	90%	+/- 10%	68	340

State Library Agency NDP Survey Targets				
	Confidence Level	Confidence Interval	Completed Surveys	Sample Size Needed
Optimal Target	95%	+/- 5%	45	51
Minimal Target	90%	+/- 7%	38	51
Option 1	95%	+/- 7%	41	51
Option 2	90%	+/- 5%	44	51
Option 3	95%	+/- 10%	34	51
Option 4	90%	+/- 10%	30	51

Original Preliminary Proposal

Assessing the Needs of Public Libraries toward Advancing the National Digital Platform

Summarizing IMLS’s April 2014 forum on the national digital platform, Maura Marx noted that following “20 years of experimentation and innovation in digital library initiatives...it’s about time we decide which results are the most viable and promising and work in a focused way on improving and connecting those pieces.”¹ With this observation in mind, OCLC, the Digital Public Library of America (DPLA), and the Chief Officers of State Libraries Association (COSLA) propose a planning project to advance a national digital platform by identifying how to best support and expand public library digitization activities.

In 2011, in advance of the “Creating a Blueprint for a National Digital Public Library” convening at the Los Angeles Public Library (funded in part by IMLS), OCLC supported a survey that was distributed to 1,751 public librarians, of which 230 responded. The survey identified that 46% of public libraries had no documented digital strategy and 41% had not yet digitized any materials. Since then, much has been done to engage U.S. public libraries with digitization activities. A visible case in point is the growth of DPLA and its regional Service Hubs. Although DPLA now has nearly as many public library contributors as university libraries, it is clear that public libraries are not participating as fully as they might.² Many public libraries probably feel “behind in the evolution to a more digital library” compared to academic and research libraries, as articulated in the *America’s Digital Future* report.³

Against this backdrop of progress and promise, OCLC, DPLA, and COSLA believe that with better understanding of the reasons why libraries are or are not engaging in digitization activities, public library participation can be better supported. At the IMLS-hosted forum in April 2014, it was identified that “in the public library world, people still need funding for basic digitization.”⁴ However, it is important to know how this need varies by state and how it affects public library participation in DPLA. The forum also suggested a need to coordinate digitization tools, workflows, and activities. In addition, anecdotal information indicates there are unmet needs and existing gaps in relation to requisite workflows and skill sets—a challenge that may be addressed by working across the public library sector to include cultural heritage institutions such as museums and archives.

The opportunity of cross-sector collaboration relates to another theme of the April 2014 IMLS forum: that organizations could collaborate to more effectively address the challenges associated with contributing to a national digital platform. To that end, OCLC, DPLA, and COSLA propose partnering on a one-year planning grant to conduct a needs assessment and gap analysis of public library digitization activities, which will inform future activities of project partners, funders, and the broader field toward advancing a national digital platform. As the lead institution on this project, OCLC brings a depth of experience with understanding and managing digitized content and special collections, in addition to a robust public and state library outreach network.

¹ <http://blog.ims.gov/?p=4886>

² <http://dp.la/info/2015/01/14/tracking-growth-in-2014/>

³ <http://www.oclc.org/content/dam/campaign-landing-pages/en/ndpl-report.pdf>, p. 3.

⁴ http://www.ims.gov/assets/1/AssetManager/IMLSFocusNotes_NYC.pdf, p. 4.

Proposed Work Plan

The intended outcomes of the proposed project are (1) quantified measures of success of public library involvement in advancing the national digital platform since 2011; (2) additional data against which to measure future success at the organizational and system levels; (3) further coordinated and strengthened working relationships between the project's partners, and across organizational and system levels; (4) new evidence of existing challenges, needs, and potential opportunities confronting public libraries with relation to digitizing collections; and (5) useful directions for other organizations, collaborations, and funders to pursue in advancing a national digital platform.

OCLC, DPLA, and COSLA will collaborate on this planning grant to conduct a needs assessment and gap analysis of public library digitization activities. In close collaboration with DPLA and COSLA staff, OCLC will conduct a follow-up to the 2011 public library digitization survey. OCLC will administer the survey to public libraries through OCLC's WebJunction, a program with strong ties to this community. DPLA and COSLA will also distribute the survey to its member and network libraries. COSLA will also distribute a modified version of the survey to state libraries in order to capture a system-level perspective. In addition, the Public Library Association (PLA) will advise on how to achieve survey participation of at least 1,000 libraries, which is needed for a statistically valid sample that can be segmented by size and locale.

The 2011 survey findings will provide a baseline for verifying the progress made and needs remaining with relation to public libraries' digitization of special collections. The results should also illuminate why public libraries are or are not digitizing their collections, and the extent to which state libraries are supporting those activities. Additionally, the survey will show how the availability and use of state funding and other support mechanisms—such as training programs, collaboration on workflow processes, and innovative use of technology—impacts the motivation and ability to digitize and share collections. Finally, the survey will inventory existing relationships public libraries have with other cultural institutions that could help increase digitization activities.

OCLC will compile and summarize the survey findings and work with DPLA and COSLA representatives to create and broadly disseminate a report that makes recommendations for how to address the barriers and opportunities around digitization. This planning project will position OCLC, DPLA, COSLA, and PLA to identify projects that advance the national digital platform in response to verified needs.

Project Director and Partners

OCLC will serve as the lead on this one-year collaborative planning grant. Lorcan Dempsey, vice president of research and chief strategist at OCLC is the executive sponsor and authorizing official for the project. The project director is Sharon Streams, the senior program manager at OCLC who oversees staff and strategy for OCLC's grant-funded programs for public libraries. The primary project partners are DPLA and COSLA. DPLA Business Development Director Rachel Frick and Director for Content Emily Gore, COSLA Executive Director Tim Cherubini, and PLA Executive Director Barb Macikas have each confirmed their support of and participation in the proposed planning project.

Estimated Budget:

\$50,000