NEW YORK STATE LIBRARY

The New York State

LIBRARY SERVICES AND TECHNOLOGY ACT

FIVE-YEAR PLAN

October 1, 2007–September 30, 2012
FY 2008–2012

A Focused Program for the
Improvement of Library Services for the People of New York State
Utilizing Local, State, and Federal Resources

Adopted by the
Board of Regents
May 21, 2007

The University of the State of New York
The State Education Department
The New York State Library
Cultural Education Center
Albany, New York 12230
2007

THE UNIVERSITY OF THE STATE OF NEW YORK

Regents of The University

Note: Based on recommendations in the Statewide Education and Information Program's communication plan, NOVEL will now be known as NOVELNY. All references to NOVEL in this document will reflect the change to NOVELNY from this point forward, with the exception of the *Regents Initiatives.*

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EXECUTIVE SUMMARY

The following pages describe in detail New York State's Library Services and Technology Act (LSTA) Five-Year Plan for the period October 1, 2007, through September 30, 2012.

The Federal Institute of Museum and Library Services, which administers the LSTA Program, requires a Five-Year Plan that describes the State Library's mission, the library service needs identified for the state, and the ways in which the state plans to use federal LSTA funds to meet those needs.

This Five-Year Plan consists of four major goals:

1. All New Yorkers will have reliable, electronic access to high-quality information resources through the expansion of NOVEL$_{NY}$ and through enhancement of libraries' technology capabilities to meet users' information needs.

2. All New Yorkers will have improved access to library resources and services that advance and enhance their personal, educational, and working lives.

3. The New York State Library, library systems, and libraries will deliver new and improved programs that anticipate and meet New Yorkers' constantly changing needs for library services.

4. The New York State Library, library systems, libraries, and library organizations will strengthen public policy support for upgrading library services for every New Yorker through improved communication, collaboration, and partnership efforts within and beyond the library community.

Each of these four goals is closely linked to the recommendations issued in 2000 by the New York State Regents Commission on Library Services (listed under "Needs Assessment") and to one or more of the six purposes of LSTA (also listed under "Needs Assessment").

The Regents Commission, charged with taking a visionary look at the future of library services and with developing a comprehensive set of policy recommendations to improve library services to the people of New York State in the 21st century, made its recommendations after a two-year study of library services throughout the state. The study included surveys of public library issues and school library media services and an analysis of the demographics of New York State from 1920 to 1998. Data from a 1998 survey of construction needs conducted by the New York Library Association and the New York State Library also provided data for the Commission's report.

In 2006, the State Library conducted an extensive review of the recommendations of the Regents Commission, with the participation of the Board of Regents, the Regents Advisory Council on Libraries, a number of the former Commission members, and representatives of the library, education, and business communities. This review included an assessment of the progress made toward implementing the initiatives set forth in the Commission's final report, as well as a reevaluation of library policy in light of recent research, data, developments in library

technology, and current challenges and opportunities. The process led to a reaffirmation of the importance of pursuing the Commission's recommendations with some adjustments and additions where appropriate.

The identification of the goals and significant components of this LSTA Five-Year Plan are also closely tied to the results of a major evaluation of the preceding LSTA program and to the work of the Steering Committee for NOVELNY, the New York Online Virtual Electronic Library.

In the description of each of the four goals and its supporting activities, the plan notes specific evaluation measures, i.e., key output targets and key outcome targets. The State Library will track outputs and outcomes, enabling accurate evaluation of the success of the program in reaching its goals, as well as efficient and effective use of LSTA resources. In the third year of the plan, the State Library will determine how to design the next evaluation for the LSTA program.

This new Five-Year Plan was developed in consultation with the Regents Advisory Council on Libraries, the NOVEL Steering Committee, libraries, and library systems. It has been available for public comment at a number of points during its development, and incorporates input from many key stakeholder groups.

In addition to including a wide range of stakeholders in the crafting of the 2007–2012 LSTA Five-Year Plan, the State Library will continue to involve stakeholders in various aspects of its implementation. The Regents Advisory Council on Libraries will ensure that the execution of the plan is coordinated with the overall plan and priorities of the New York State Library through a unified approach to statewide library policy.

LSTA Five-Year Plan
October 1, 2007 through September 30, 2012

INTRODUCTION

The Library Services and Technology Act (LSTA), a federal program for libraries administered by the Institute of Museum and Library Services (IMLS), requires a five-year plan from each state. This document outlines New York's third LSTA Five-Year Plan, developed from the findings and recommendations of the broad-based Regents Commission on Library Services and from the evaluation study of the first four years of the former plan carried out by an independent evaluation consultant. The plan will cover the period October 1, 2007 through September 30, 2012, or the federal fiscal years 2008 through 2012.

The Regents Commission on Library Services was appointed by the Board of Regents of The University of the State of New York. Because libraries, including the New York State Library, are the responsibility of the Board of Regents, policy on library services is part of Education policy in New York State.

The State Library includes the Division of Library Development and the Research Library. The Division of Library Development provides leadership, funding, and expert assistance for all New York's libraries and library systems. Staff experts work with librarians, trustees, public officials, and local leaders to ensure that library resources are available to all their communities. Library Development administers more than $100 million in state and federal aid to New York's libraries, and helps them to participate in federal, state, and private funding programs.

The Research Library is the principal library for New York State government and serves New Yorkers and New York's libraries statewide. Its collection of more than 20 million items makes it one of the 125 largest research libraries in North America. It is the only State Library to qualify for membership in the Association of Research Libraries.

More than 7,000 libraries serve the people of New York. Most of these libraries are linked with others in resource-sharing library systems and networks. New York's LSTA program reaches many of these libraries through their systems and through Statewide Services.

The State Library and New York State's library systems work together as partners to expand and improve library services throughout the state and to implement initiatives and activities such as those described in this plan. Three different types of library systems connect and serve the state's libraries as follows:

Public Libraries and Library Systems: Some 755 public libraries and 314 branch libraries serve the people of New York State. All but one of the 755 public libraries are members of one of the state's 23 public library systems. The 26 central and co-central libraries of the public library systems provide reference and information service to residents throughout the service areas of the systems.

Reference and Research Library Resources Systems: Nine regional consortia, encompassing all of New York State, include libraries in public and private colleges and universities, special

libraries, public libraries and public library systems, and school library systems in a complex network of resource sharing. These systems serve their regions and the entire state as an important link to the rich and varied resources of the special, college, and university libraries. During the 2006–2007academic year, the state had 271 degree-granting institutions of higher education, including 83 public, 146 independent, and 42 proprietary.

School Libraries and Library Systems: Forty-one school library systems enable more than 4,422 school libraries in public schools and more than 450 of the 2,108 libraries in nonpublic institutions to participate in database development, resource sharing with all types of libraries, professional development, and other services.

MISSION

The mission of the New York State Education Department—"To raise the knowledge, skill, and opportunity of all the people in New York"—provides direction for libraries, archives, and museums, as well as the formal educational structure of schools and colleges.

The mission of the New York State Library, through the Division of Library Development and the Research Library, is "to provide leadership and guidance for the planning and coordinated development of library services and to serve as a reference and research library for the people of the State."

The State Library works in partnership with the three types of library systems to carry out planning and coordination for the development of library services throughout the state.

NEEDS ASSESSMENT

For the five-year period October 1, 2007, through September 30, 2012, New York will continue to base the goals and activities of its Library Services and Technology Act (LSTA) program on the findings and recommendations of the Regents Commission on Library Services. This Commission was appointed in 1998 to develop and recommend to the New York State Board of Regents a vision for statewide library services. Soon after its formation, the Commission established two task forces to focus on a vision for 21st-century library service and to recommend ways to achieve the greatest access to library service, respectively. The Commission members represented all types of library institutions and organizations in New York State as well as the education and business communities.

The Commission authorized two surveys by the Center for Applied Research in Library and Information Science, based at the University at Buffalo. One survey addressed public library issues; the second focused on school library media programs and their impact on student achievement. The Commission also asked Dr. James B. Chapin to report on and analyze the demographics of New York State. His report, *Demographics of New York State, 1920–1998*, provided a context for the Commission's broad examination of library services.

The Commission held two rounds of regional public hearings in addition to numerous meetings of the full membership and the two task forces over a two-year period. The first round of five hearings offered the public an opportunity to discuss the future of New York's library services and suggest improvements. The second round obtained input on a draft of the Commission's

Report. More than 500 New Yorkers, representing a broad range of constituents from the general public; school, academic, and business communities; and state and national library organizations, provided testimony. Panel presentations and open discussions at Annual Conferences of the New York Library Association (NYLA) provided opportunities for further comment. Finally, six regional focus groups discussed issues involving the three types of library systems in New York State.

In its report, entitled *Meeting the Needs of all New Yorkers: Library Service in the New Century* (http://www.nysl.nysed.gov/rcols/finalrpt.htm), the Commission reached the following conclusions about the libraries in New York State (summarized from the report):

- Library service around the state is uneven and inconsistent.
- More than one million New Yorkers have no access to a local public library.
- Many library buildings are inadequate to meet growing access and technology needs.
- Many New York school students have inadequate library resources.
- Library users don't have access to a universal and reliable core collection of electronic resources.
- Most New Yorkers don't have access to primary source research collections.
- New York libraries, particularly in urban areas, cannot meet the growing needs of their special populations concerning critical literacy and information literacy skills.
- There is a critical shortage of certified and qualified staff that can adequately meet user needs in New York's urban libraries and in the State Library.

The Commission Report provided a vision to transform New York's libraries and provide all New Yorkers with access to quality library services in the 21st century, no matter where they live, work, or attend school. Immediately after the release of the final report, the New York State Board of Regents adopted its recommendations, listed below, as Regents policy.

1. Create NOVEL, the New York Online Virtual Electronic Library, to deliver high-quality, reliable digital information to all New Yorkers.

   NOTE: In 2006, the Regents reaffirmed their commitment to this recommendation and to activities that will sustain and enhance NOVELNY.

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.

3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.

4. Promote equitable library services for all New Yorkers through a need-based formula to reduce disparities in public library funding, and create NY EXCELS to promote excellence in all type of libraries and library systems through enabling and incentive aid.

5. Provide support for public library construction, expansion, and renovation to ensure that New York's libraries are accessible to all library users and can accommodate advances in technology.

6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.

7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.

8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.

9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

10. Provide leadership for change by strengthening the expertise and accountability of the New York State Library and by creating a statewide advocacy coalition.

These recommendations, with periodic review by the Regents and ongoing reevaluation by the State Library and the Regents Advisory Council on Libraries, have provided the basis for New York's library initiatives since 2000, and they are fundamental to the goals of this LSTA Plan for 2007–2012.

This plan also operates under purposes established in federal LSTA law. Each state may determine which purposes its program will address. The following are the six LSTA purposes:

1. Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;

2. Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;

3. Provide electronic and other linkages between and among all types of libraries;

4. Develop public and private partnerships with other agencies and community-based organizations;

5. Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and

6. Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children from families with incomes below the poverty line.

SUMMARY OF GOALS

New York State's LSTA Five-Year Plan consists of four goals with their program activities, key output targets, and key outcome targets. Each of these goals, listed below, is related to one or more of the ten Regents initiatives based on the recommendations of the Regents Commission and to one or more of the six LSTA purposes.

1. All New Yorkers will have reliable, electronic access to high-quality information resources through the expansion of NOVELNY and through enhancement of libraries' technology capabilities to meet users' information needs.

2. All New Yorkers will have improved access to library resources and services that advance and enhance their personal, educational and working lives.

3. The New York State Library, library systems, and libraries will deliver new and improved programs that anticipate and meet constantly changing needs for library services.

4. The New York State Library, library systems, libraries, and library organizations will strengthen public policy support for upgrading library services for every New Yorker through improved communication, collaboration, and partnership efforts within and beyond the library community.

The State Library will carry out the goals of this plan through Statewide Services and, as funding allows, a grants program. The grant categories will be defined in annual Grant Program Guidelines. The State Library has identified all library systems—public library systems, reference and research library resources systems, school library systems, central libraries, and Yonkers Public Library—as eligible to submit grant applications.

EVALUATION PLAN

The process of developing a Request for Proposal for the evaluation components of New York's second LSTA Five-Year Plan, in addition to intensive collaboration with the evaluation firm that received the contract, has helped the State Library to identify a need to expand evaluation methods as a part of ongoing operations.

Over the course of the current LSTA Five-Year Plan (2002–2007), the State Library has developed a training program for State Library and library system staff to assist them in using performance (outputs) and results (outcomes) measures in their progress towards excellence. In addition, State Library staff have worked with an evaluation expert to develop a framework of appropriate measures for specific categories of grant projects.

The State Library continues to sharpen its focus on evaluation and is moving forward with plans to incorporate outcome-based evaluation (1) within its own operations and its Statewide Services to libraries and library systems and (2) within the projects supported by LSTA funding.

To measure the progress of Statewide Services activities, the State Library will use a variety of measures to collect both quantitative and qualitative data, including web-based and telephone surveys and focus groups. In presenting each of its four goals, this Five-Year Plan notes specific evaluation measures, along with the anticipated outputs and outcomes. State Library staff will track outputs and outcomes annually, as appropriate.

In addition, applicants for funding for projects supported by LSTA will be encouraged to frame their applications to include outcome-based evaluation for appropriate projects. They will identify the anticipated outputs and outcomes in their applications and report on the results at the end of the project.

GOALS OF THE PLAN

Goal 1: All New Yorkers will have reliable, electronic access to high-quality information resources through the expansion of NOVELNY and through enhancement of libraries' technology capabilities to meet users' information needs.

This goal supports the following five of the ten *Regents Initiatives* and four LSTA purposes:

1. Sustain and enhance NOVEL, the New York Online Virtual Electronic Library, to deliver high-quality, reliable digital information to all New Yorkers.

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.

7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.

8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.

9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and education resources in a variety of formats, in all types of libraries, for individuals of all ages

2. Developing library services that provide all users access to information through local, state, regional, national, and international electronic networks

3. Providing electronic and other linkages among and between all types of libraries

4. Developing public and private partnerships with other agencies and community-based organizations

Needs

The Regents Commission on Library Services found that providing New Yorkers with equitable access to electronic information resources through libraries faced a number of obstacles. In 2000, its members foresaw the creation of NOVEL to bring a number of elements into one highly visible program for improving New Yorkers' access to information. By August 2001, a NOVEL Planning Team, aided by input from librarians, educators, and community leaders, devised an implementation plan for NOVEL. Entitled *Libraries Expanding Information Access for New Yorkers in the New Century*, the plan identified the following five initiatives:

- Increase access to electronic resources on a statewide basis.

- Expand resource sharing in New York State to improve electronic and traditional access to library resources for all users.

- Develop a coordinated program for the digitization of information resources in New York libraries and other repositories.
- Enhance the availability of high-speed telecommunications for New York's libraries across all regions of the state.
- Develop a NOVEL user interface (or portal) that integrates the services and resources brought together under NOVEL.

Since 2001, NOVEL has evolved from the LSTA-funded EmpireLink pilot project, and has expanded and diversified New York State's collection of electronic resources purchased on a statewide basis to provide economies of scale. Communications efforts have led to huge increases in the use of NOVEL resources; NOVEL use has increased 1400 percent since its inception. The number of visits to NOVEL through New York driver-license access jumped 350 percent after announcement of the NOVEL Driver License Access Project through a joint effort of the State Education Department Public Information Office, the State Library, and the Associated Press in March 2006.

In 2004, the State Library allocated $1 million in LSTA funds for an invitational grant program to build awareness and use of NOVEL resources through increased training opportunities for library system and member library staff, students, faculty, businesspeople, media, and the public. In addition, regional training sessions have been held periodically for librarians through their library systems. By the end of 2006, more than 5,200 of New York's 7,000+ libraries were registered to use NOVEL. Users now have remote access from homes and offices by means of a New York State driver license or non-driver ID number.

The NOVEL Steering Committee, which includes library leaders from a broad spectrum of libraries and systems throughout the state, in partnership with the New York State Library, continues to work to implement the NOVEL Plan. (The full text of the plan is available at http://www.nysl.nysed.gov/library/novel/finalpln.htm.)

In 2006, the New York State Library began a Statewide Education and Information Program for NOVEL, a project developed from a recommendation by the NOVEL Steering Committee. The program is intended to educate and inform the public about NOVEL through a statewide communications plan that will bring about an increased awareness of NOVEL among New Yorkers and promote its use through local libraries. The program will include communications focused on media relations and outlets such as newspapers, radio, and television, as well as top-notch professional products to be used by libraries to inform their local communities about the new information resources available through their libraries. An evaluation component will measure the effectiveness of the program through techniques such as telephone surveys to determine public awareness of NOVEL, use of NOVEL, and levels of local library participation and promotion.

Despite the successful growth of NOVELNY, many of the obstacles identified by the Regents Commission still inhibit information access for New Yorkers. Libraries have made significant advances in providing public-access computing and technology training for library staff (e.g., through Gates Library Foundation initiatives), but many library buildings remain unable to accommodate recent technology and lack certified librarians. Nearly 2,000 libraries, primarily

school libraries, are still not participating in NOVELNY. Many parts of New York State also need an improved technology infrastructure, including broadband telecommunications access, to make the resources readily available throughout all geographic areas.

Library users today need an increasingly wide array of reliable electronic resources that include core collections, specialized collections, and primary resources in digital format, requiring increased funding for statewide electronic resources in libraries. (Currently, New York's sole source for NOVELNY spending is LSTA funding.)

Other components of NOVELNY still not implemented include initiatives to digitize unique local collections, provide opportunities for high-speed network access, enable shared electronic catalogs of the holdings in all libraries in New York State, offer 24/7 reference service, and launch a simplified system for borrowing and transporting printed library materials across the state.

Program Activities

ACTION	*TIMEFRAME*
• Implement a comprehensive NOVELNY communication plan to better inform New Yorkers about NOVELNY services available through local libraries.	FY2008–2010
• Expand NOVELNY to include research databases for the academic, research, and business communities.	FY2008–2012
• Expand NOVELNY to include more K–12 resources.	FY2008–2012
• Partner with library systems to develop a coordinated statewide plan that will expand access to unique digitized materials focused on the history of New York State.	FY2008–2012
• Develop opportunities and expand partnerships with other units within state government, private industry, and the nonprofit sector to expand the NOVELNY program.	FY2008–2012
• Create a new NOVELNY website to deliver NOVELNY services more effectively.	FY2008–2010
• Partner with public library systems, school library systems, reference and research library systems and database vendors to provide NOVELNY training to the library community.	FY2008–2012
• Coordinate with the Gates Library Foundation, WebJunction and public library systems in the implementation of Gates/WebJunction Initiatives to sustain public access computing for all New Yorkers at local public libraries.	FY2008–2012
• Coordinate with government agencies that can help libraries with cooperative telecommunications efforts locally and regionally, specifically to create statewide broadband telecommunications access.	FY2008–2012
• Cooperate with the University of the State of New York (USNY) Technology Practices and Policy Council concerning the effective use of technology in libraries.	FY2008–2010

- Support libraries', public library systems' and reference and research library systems' efforts to secure E-Rate telecommunications discounts.   FY2008–2012

- As funding permits, offer technology grants programs to enhance library staff and patron skills, to enhance library systems' and central libraries' technology capabilities to meet users' information needs, and to expand technology and resource sharing.   FY2008–2012

- Improve access for all New Yorkers to all holdings of the State Library, the State Museum, and the State Archives.   FY2008–2010

- Expand access to electronic information provided by the State Library both onsite and through the library's website.   FY2008–2012

- Evaluate the search capabilities added to NOVELNY and the library's database collection through federated searching during a usability study and survey, share the results with other libraries in New York, make recommendations, and plan for continuation beyond the pilot phase.   FY2008–2009

- Enhance access to full-text electronic federal and New York State documents, Research Library holdings, and databases through an OpenURL link resolver and the expanded indexing and conversion of holdings to digital formats.   FY2008–2012

- Participate in consortia to expand State Library holdings of electronic resources such as e-books and databases.   FY2008–2012

- Expand online provisions for interlibrary loans at the State Library and replace current interlibrary loan management software.   FY2008–2009

- Negotiate with publishers and vendors to include provisions for interlibrary loan of electronic resources from the State Library to a wider population.   FY2008-2012

- Participate in collaborative digital archiving of library material.   FY2008-2012

- Develop a model for aggregating statewide library holdings, statewide digitization initiatives, and the establishment of statewide trusted digital repositories.   FY2008–2012

Key Output Targets

- The number of libraries registered to participate in NOVELNY will reach 5,500 by 2012.
- Use of NOVELNY electronic resources will increase 100 percent over 2007 levels.
- Use of the new NOVELNY website will increase by 50 percent over 2007 levels.
- At least 5,000 library staff will participate in technology training between 2008 and 2012.
- At least 5,000 library staff and end-users will participate in vendor-delivered NOVELNY training between 2008 and 2012.
- An average of 350 libraries per year will receive E-Rate discounts equal to $7 million annually between 2008 and 2012.
- All library systems' E-Rate technology plans will be approved by established deadlines.

- NOVEL_{NY} users will more easily be able to access NOVEL_{NY} resources on the Virtual Learning System developed by the State Education Department.

- The State Library's website will be redesigned by 2009 to provide clear avenues of access.

- New interlibrary loan management software will be investigated, evaluated, and implemented by 2009.

- The State Library will convert and provide electronic access to 25 percent of its high-use holdings (as identified by the Collections Development Committee) in digital format by 2012.

- The State Library will increase electronic resources by 50 percent between 2008 and 2012.

- Through the tracking of use and trends, the State Library will demonstrate an annual increase of 5 percent in patterns of use of the Research Library by 2012.

- At least five new or revised finding aids to State Library collections will be made available online each year. By 2012, at least 95 finding aids to State Library collections will be available on the State Library's website.

- By 2012, 80 percent of known digitization projects statewide will be linked and searchable from a website hosted by the New York State Library.

Key Outcome Targets

- By 2010, 10 percent of a sampling of New York State residents will indicate in a statewide telephone survey that they have heard of NOVEL_{NY}; 5 percent will indicate that they have used NOVEL_{NY}; and 2 percent will say that they or a family member has benefited from NOVEL_{NY}.

- By 2010, at least 50 percent of library and library system staff who have attended a NOVEL_{NY} training session will indicate in focus groups, surveys, and interviews that they feel confident in promoting and facilitating NOVEL_{NY} use.

- By 2009, library staff will benefit from a revised NOVEL_{NY} Toolkit in use by 1,000 libraries.

- Staff at cultural institutions across New York State will report satisfaction with results of searches across the digital collections of libraries, archives, historical societies, and museums through the New York State Library portal by 2012.

Goal 2: All New Yorkers will have improved access to library resources and services that advance and enhance their personal, educational, and working lives.

This goal supports the following six of the ten *Regents Initiatives* and four LSTA purposes:

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.

3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.

6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.

7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.

8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.

9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages

4. Developing public and private partnerships with other agencies and community-based organizations

5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills

6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

New York is a highly diverse state, with both large numbers of people in densely populated urban areas and smaller numbers in large, sparsely populated areas. This diversity requires a complex network of library services to ensure that all residents of the state can locate and obtain the information they need to advance and enhance their lives.

At least three million adults in New York State read at the lowest literacy level and lack the basic skills needed to function successfully in society. Because the state is an entry point for immigrants and nearly four million New Yorkers speak hundreds of languages other than English, many residents need to learn English as a second language.

Family literacy needs are high as well. The children of parents who lack language and literacy skills often experience lower academic achievement. When children do not read outside school or during the summer, they are likely to lose the reading gains made at school. Therefore, a strong foundation based on an appreciation and understanding of fiction/nonfiction literature, leading to enhanced facility in reading, writing, and speaking, is essential.

To strengthen the ability of libraries to provide a broad range of literacy education in their communities, the Regents Commission recommended that school and public libraries be recognized as providers of alternative education programs that support English-language literacy, information literacy, and family literacy.

Since 1999, with LSTA support, the New York State Library's Summer Reading Program has grown from 172,000 participants to 1.2 million in 2006. LSTA funding has also made possible Statewide Summer Reading Program Mini-grants to public library systems to enhance and expand the program locally. The State Library's participation in the State Education Department's Early Childhood Cabinet and a statewide LSTA-funded Growing a Reader Program have resulted in the training of 1,250 youth librarians over two years to teach parents and caregivers critical early-literacy skills. The State Library has also administered funding for 31 state-funded and 15 federally funded adult and family literacy programs for the 2005–06 and 2006–07 fiscal years. However, 38 percent of adult and family literacy projects seeking assistance are still unfunded.

The Regents Commission also recognized that the economic development of New York depends on having a well-educated and highly skilled population and on businesses that have access to current, reliable resources and research information. Future prosperity depends on high-value-added enterprises, services, manufacturing, and research and development. In recent years, entrepreneurs and startups have become the incubators of new products, new industries, new businesses, and new employment, and ready access to reliable and timely information is the engine of economic development. Residents who are building job-readiness skills also need the resources that will permit them to improve their lives.

To help broaden access to resources for businesses and individuals, the New York State Research Library has extended access to all adult New Yorkers. Digitization projects are enhancing access to library collections and selected materials of the New York State Museum, New York State Archives, historical organizations, etc., supplemented by regional digitization plans of the reference and research library resources systems.

The libraries of higher education institutions are a major component of the network of valuable research information contributing to the economy of New York State. The State Library's participation in the recently formed New York State Higher Education Initiative is helping to develop and promote cooperative activities for academic and research libraries statewide. The LSTA-funded LIBQUAL+ project is helping 77 academic and research libraries identify user needs, align resources with user expectations, and improve services, using an Association of Research Libraries outcome-based assessment tool. The specialized libraries in health care institutions provide an important source of health information, which consumers have identified as a top-priority information need.

However, much remains to be done to provide access to specialized electronic resources of value to scholars and researchers. (The New York State Library still lacks the means to provide access to research materials through NOVELNY.) Other initiatives to enhance access should include support for digitization of research materials; incentives to provide increased on-site access to academic and special libraries; expansion of medical information programs for librarians, health-care professionals, and consumers; pilot programs for enhanced library services in support of business and industry; and accelerated programs to ensure preservation of library materials.

Program Activities

ACTION	*TIMEFRAME*
• Continue to increase participation in and awareness of New York's Statewide Summer Reading Program.	FY2008–2012
~ Expand partnerships among library systems, public libraries, schools, corporations, the Legislature, and others to improve publicity, promotion, and usage of New York's Statewide Summer Reading Program.	FY2008–2012
~ Incorporate access to NOVELNY database information and resources into Summer Reading Program planning and educational materials.	FY2008–2012
~ Enhance the Summer Reading Program and streamline its administration through membership in the national Collaborative Summer Library Program, which includes 41 states.	FY2008–2012
• Participate in the USNY Cabinet on Early Education to encourage public libraries to promote public library programs that foster parental involvement in home literacy activities for school readiness.	FY2008–2012
• Partner with school and public library systems to increase awareness of New York State's two regional and one sub-regional Talking Book and Braille Libraries to increase significantly the number of New Yorkers with print-related disabilities who use this special library service.	FY2008–2012
• Provide 2-1-1 Initiative information and updates to libraries via State Library listservs and web pages; support and promote the initiative through the 2-1-1 Policy Board's library representative.	FY2008–2012
• Partner with reference and research library resources systems to promote and enhance their services to special client populations.	FY2008–2012
• Increase the visibility of State Library programs and services available to all New Yorkers to promote economic development and lifelong learning.	FY2008–2012
• Expand use of State Library resources by providing timely access to Research Library collections and information.	FY2008–2012
• Expand and develop website content relating to State Library collections and services.	FY2008–2012
• Promote user-initiated services with enabling technologies.	FY2008–2009
• Implement technology that will enable bibliographic records in the	FY2008–2012

Research Library's OPAC to display in multiple languages.

- Increase New Yorkers' access to a more diverse library workforce that can   FY2008–2010
  better serve their needs through the State Library's partnership with library
  schools, library systems, and other library organizations.

- As funding permits, offer grants programs to enhance library staff and   FY2008–2012
  patron skills, to enhance library systems' and central libraries' capabilities
  to meet users' information needs, and to expand resource sharing.

Key Output Targets

- The number of participants in the Statewide Summer Reading Program will exceed
  1.5 million by 2010.

- The number of public libraries offering early literacy programs will increase by 10 percent a
  year through 2012.

- The number of public libraries offering adult literacy and/or English as a Second Language
  (ESL) programs will increase by 10 percent a year through 2012.

- The number of public libraries offering after-school and homework help programs will
  increase by 10 percent a year through 2012.

- The State Library will increase the number of processed and cataloged items by 1,000 per
  year through 2012.

- At least 80 percent of questions received at the Research Library's Reference Desk will be
  answered within two days.

- The number of new registered (individual) borrowers of the Research Library will increase
  by five percent each year to a total of 25,600 by 2011.

- By 2009, the State Library will conduct and evaluate a trial expanding the Research Library's
  hours of service for the public from 40 hours to at least 47 hours a week.

- At least 80 percent of copying requests for items from the Research Library's main collection
  received through interlibrary loan or e-mail will be filled within two days; at least 75 percent
  of copy orders for Manuscript and Special Collection materials of less than 25 pages will be
  filled within five days.

- State Library staff will create or revise 20 web pages highlighting various Research Library
  collections by 2012.

- The State Library website will demonstrate a 5-percent increase in use annually by 2012.

Key Outcome Targets

- Summer Reading Program participants will benefit from NOVELNY resources included as a
  part of the 2008 and 2009 Statewide Summer Reading Program materials.

- Children and teens who participate in the Statewide Summer Reading Program at their local
  public library will benefit academically by learning to use the high-quality resources
  available through NOVELNY.

Goal 3: The New York State Library, library systems, and libraries will deliver new and improved programs that anticipate and meet New Yorkers' constantly changing needs for library services.

This goal supports the following seven of the ten *Regents Initiatives* and six LSTA purposes:

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.

3. Promote the availability of local public library service to all New Yorkers and improve local support for public libraries through the formation of Public Library Districts.

4. Promote equitable library services for all New Yorkers through a need-based formula to reduce disparities in public library funding, and create NY EXCELS to promote service excellence in all types of libraries and library systems through enabling and incentive aid.

5. Provide support for public library construction, expansion, and renovation to ensure that New York's libraries are accessible to all library users and can accommodate advances in technology.

6. Improve the capacity of New York's urban public libraries to meet the unique needs of diverse library users in underserved, densely populated communities.

8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.

9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages

2. Developing library services that provide all users access to information through local, state, regional, national, and international electronic networks

3. Providing electronic and other linkages among and between all types of libraries

4. Developing public and private partnerships with other agencies and community-based organizations

5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills

6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

All New Yorkers should live in a community that has access to, and supports, a quality public library. The Regents Commission found that the levels of library service available to New York residents were grossly uneven. In 2000, approximately 1.3 million had no local public library at all. Where residents had local libraries, many buildings were inadequate and unsafe, and too many libraries were not accessible to all in their communities. The entire state, but particularly urban areas, were experiencing a shortage of professional librarians and having great difficulty attracting and retaining a well-trained and effective workforce.

To address these issues, the Regents Commission recommended initiatives to promote the formation of public library districts, assistance for public library construction/renovation, and programs to promote excellence through high-quality continuing staff development in all types of libraries.

Since 1999, New York State has added 27 new public library districts, with 18 new districts in 2002 through 2006. Public library districts give residents greater control of their local library services through a public vote on the library budget and the board of trustees, and frequently result in increased local funding and service improvements. Local efforts were assisted by a new how-to guide and a Public Library District website, training and expert consultation services provided to library directors and trustees by the State Library, and creation of the New York Library Association Public Library District Statewide Task Force. As of July 2006, 263,050 additional New Yorkers had gained local public library service; however approximately one million remain without local service.

The 2006–07 New York State budget includes $14 million in new, one-time state funds for public library construction grants. However, over $1.7 billion is still required for construction or renovation of public library buildings. More than half of New York State's public library facilities are over 50 years old.

Efforts to promote equitable library services by reducing disparities in public library funding will benefit from $2.7 million included in the 2006–07 budget, and library systems will receive $3 million in one-time supplementary funds. However, libraries still require substantial new State funding based specifically on need to raise the level of service to a minimum standard, as recommended by the Regents Commission.

Programs to promote service excellence have benefited from the LSTA "Service Improvement" grants to fund library system projects targeted at improving the quality of library services in their regions and statewide. Development by the State Library of its outcome-based evaluation website, a train-the-trainer curriculum, and statewide outcome-based evaluation training for State Library and library system staff are helping to improve the quality of library and system services. State Library collaboration with systems to improve their Five-Year Plans of Service and movement of the planning, budgeting, and reporting process to a web-based format have improved accountability and planning of library systems. However, the need remains for incentives for library systems to achieve excellence of service through the EXCELS Program as envisioned by the Regents Commission.

Program Activities

ACTION	*TIMEFRAME*
• This initiative helps the local public library develop public and private partnerships with other community groups, such as local governments and local school districts, so they can improve their governance structure and better serve their constituents.	FY2008–2012
• Support and expand service improvement and evaluation processes in all types of libraries and library systems to help them use performance (outputs) and results (outcomes) in measuring their progress toward excellence.	FY2008–2012
~ Expand "train-the-trainer" instruction in service improvement and evaluation methods for State Library, library system, and library staff.	FY2008–2011
~ Provide library systems with a range of advisory services to support instruction for member library staff in service improvement and evaluation methods.	FY2008–2011
~ Expand partnerships with library systems in providing user-friendly, timely, and accurate data via the Internet for evaluation of library services and programs.	FY2008–2012
~ Support and expand communication of exemplary library programs.	FY2008–2012
• Support and expand service improvement and evaluation processes in all types of libraries and library systems to help them develop outputs and results (outcomes) to show the impact of LSTA priority-related user programs such as technology and literacy.	FY2008–2012
• Partner with public library systems and other organizations to periodically assess public library needs for building construction, expansion, and renovation.	FY2008–2012
• Partner with the Gates Foundation and WebJunction to provide libraries and library trustees with planning and evaluation tools so that libraries will increase their impact in their local communities.	FY2008–2012
• Strengthen the State Library's partnership with the State Education Department's Office of Elementary, Middle, Secondary and Continuing Education (EMSC), school library systems, and others to improve and enhance New York's school library media programs.	FY2008–2012
• Strengthen the State Library's partnership with academic, research, and special libraries (both statewide and nationally), as well as reference and research library systems, the State Education Department's Office of Higher Education, and others to improve and enhance New York's academic and research libraries.	FY2008–2012
• Use new communications technologies to provide technical assistance more effectively to libraries and library systems.	FY2008–2012
• Provide grants to all types of library systems and central libraries as funds are available to enable libraries to improve service to their local communities.	FY2008–2012

• Create a pilot online education and training program available to all public library systems and their member libraries' staff.	FY2008–2009
• Improve online planning, budgetary, and reporting tools for use by local libraries and systems.	FY2008–2012
• Partner with federal agencies to improve the timeliness and accuracy of public library statistics.	FY2008–2012
• Accelerate conservation/preservation activities, including technological solutions.	FY2008–2012
• Partner with Libraries for the Future on projects to expand access to library users through information and educational resources such as health information, youth-related information, and lifelong access.	FY2008–2009

Key Output Targets

- Fifteen new public library districts will be established between 2007 and 2012.

- Five hundred member library and library system staff will complete six hours of training in service improvement, evaluation methods, grant writing, and other topics by 2012.

- Seventy-five percent of State Library librarians will complete at least six hours of work-related training annually.

- Five hundred public library staff will have participated in the pilot online education and training program by 2009.

- The number of elementary school students who have access to a certified school library media specialist will increase by 10 percent over 2007 levels.

- A DVD about State Library services and collections for the general public will be created and available by 2008.

- The State Library will exhibit at 10 professional and business conferences by 2012.

- The State Library will plan, host, and/or conduct at least 30 training classes/programs for the general public each year.

- The State Library website will incorporate web pages highlighting services to the business community and teachers by 2008.

Key Outcome Targets

- By 2012, 60 percent of library and library system staff and library trustees will indicate through surveys that they are better able to anticipate and meet changing customer needs and better able to measure their progress toward achieving service excellence as a result of training provided by the State Library.

- By 2012, public libraries will benefit from an increase to $50 per capita for average local support income statewide.

- By 2012, an additional 250,000 formerly unserved New Yorkers will benefit from having a local library in their community.

Goal 4: The New York State Library, library systems, libraries, and library organizations will strengthen public policy support for upgrading library services for every New Yorker through improved communication, collaboration, and partnership efforts within and beyond the library community.

This goal supports the following six of the ten *Regents Initiatives* and six LSTA purposes:

1. Sustain and enhance NOVEL, the New York Online Virtual Electronic Library, to deliver high-quality, reliable digital information to all New Yorkers.

2. Ensure that all New York's students are information literate by providing strong school library media programs that include appropriately certified professional staff, adequate resources, and technology.

7. Strengthen the ability of New York's libraries to help library users acquire basic English literacy, information literacy, and computer literacy skills in their communities.

8. Enhance access to the specialized resources held by New York's academic, special, and research libraries to improve educational achievement, economic development, and health care for all New Yorkers.

9. Support and enhance a highly skilled library workforce to meet the information needs of New Yorkers.

10. Provide leadership for change by strengthening the expertise and accountability of the New York State Library and by creating a statewide advocacy coalition.

LSTA Purposes:

1. Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages

2. Developing library services that provide all users access to information through local, state, regional, national, and international electronic networks

3. Providing electronic and other linkages among and between all types of libraries

4. Developing public and private partnerships with other agencies and community-based organizations

5. Targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, individuals with disabilities, individuals with limited functional literacy or information skills.

6. Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

Needs

The Regents Commission identified and described in their report a need to strengthen public support for libraries so that all types of libraries and library systems can provide New Yorkers

with equitable access to quality library service. This would require a concerted effort by all librarians and library trustees to provide leadership and accountability.

As recommended by the Commission, the State Library has increased its efforts to take a leadership role in the areas of communication, clearly articulating the information needs of New York's library users, individual libraries, and library systems within New York State government and the federal government. At both the state and the local levels, education and library agencies and various library and business organizations have been forming partnerships to develop a statewide coalition. In regional library leadership meetings statewide, the New York State Commissioner of Education, the State Librarian, and other library, education, and business leaders have inspired groups of stakeholders to support library initiatives and legislation through collaboration and grass-roots efforts.

Librarians across New York State are discovering that to build local support, encourage library usage, and supply the most current and relevant materials and programs, they must look beyond the walls of their own institutions and develop strategic alliances. The library community is increasingly cognizant of its responsibility to collaborate with other community organizations—both public and private—to meet the needs of all customers. Community-based librarianship—that is, serving the community through needs and assets assessments, outreach, coalition building, and public awareness—has reached audiences and created alliances never before considered.

Alliances have taken many shapes. Partnerships reach to the core of the local library's success and have been formed at all levels. From the children's librarian who is developing innovative programming for infants and toddlers in partnership with a local public health program, to the adult services librarian who looks to local nonprofit agencies to assist with GED and ESL classes; from a library director joining with a local corporation for financial support, to a library friends group recruiting enthusiastic volunteers—partnerships are essential.

A pressing need remains to encourage all New York's libraries to work and cooperate with other libraries and other organizations that have similar missions. These libraries look to the New York State Library for leadership, problem solving, training, and information that supports the advancement of library and information services for all New Yorkers.

To fulfill its leadership role, the State Library will encourage and build strategic partnerships at the federal, state, and local levels to help build strong libraries for all New Yorkers. Strong libraries collaborate with strategic partners—local government, schools, business and industry, and community-based organizations—as well as other library organizations, to leverage available funds and enhance services. The State Library will promote strong libraries in every community to enhance literacy, learning, and economic and workforce development; encourage innovative responses to common problems; and facilitate cooperative activities among libraries and their strategic partners across the state.

In addition, the State Library will create opportunities to develop the skills of library leaders and decision makers in building public and private partnerships. As funding permits, the State Library will provide direct support for planning, evaluation, collaboration, advocacy, and professional development that foster and advance innovative responses from libraries and their

strategic partners to community needs. Also as funding permits, the State Library will develop and implement a grant program with priority for projects that foster cooperation and collaboration.

As a part of its overall effort to form stronger partnerships and statewide coalitions, the State Library will continue to strengthen its partnerships with the New York Library Association, the New York State Association of Library Boards, the library systems, and other library organizations and groups. It will also build on its relationships with statewide organizations and state and federal agencies with similar missions or interests, e.g., the graduate schools of library and information science, The Center for the Book, Literacy New York, the New York State Reading Association, the Centers for Independent Living, the State Education Department's Early Childhood Literacy Cabinet, public television and radio stations, and museum, archival, and K-16 education groups.

Program Activities

ACTION	TIMEFRAME
• Enhance the State Library's statewide education and outreach efforts to establish a supportive attitude toward upgrading libraries and library services from the public, the library community, and key partners in the education and business communities.	FY2008–2012
• Improve mechanisms to share information concerning the impact of LSTA federal funds with the library community and the general public.	FY2008–2012
~ Develop, publish, and distribute brochures that show the relevance and importance of the LSTA program.	FY2008–2012
~ Expand the New York State Library website to promote reporting of LSTA-supported activities.	FY2008–2012
• Partner on projects that result in improved decisions by library policymakers.	FY2008–2012
• Participate in collaborative collection development, resource sharing, and coordinated statewide efforts for archiving electronic resources.	FY2008–2012
• Participate in partnerships that promote statewide document delivery services.	FY2008–2012

Key Output Targets

- The number of hits pertaining to LSTA-supported activities on the New York State Library website will increase 10 percent each year over 2007 levels.

- At least 12 articles about State Library collections and/or services will appear in various newspapers, magazines, and newsletters by 2012.

- The State Library will participate in at least three collaborative resource-sharing projects by 2012.

- State Library staff will speak about State Library services at 75 workshops/training sessions attended by library staff, library trustees, and education leaders by 2012.

Key Outcome Targets

- By 2012, at least 75 percent of library and library system staff responding to State Library surveys will indicate that they are aware of the collections and/or services of the State Library.

- By 2012, 25 percent of library policymakers who have participated in a training project or activity co-sponsored by the State Library will indicate that their library/institution has benefited.

STAKEHOLDER INVOLVEMENT

As was the case with New York's second LSTA Five-Year Plan (October 2002 to September 2007), this third Five-Year Plan is inextricably linked to the work of the Regents Commission on Library Services, described under "Needs Assessment." The Commission developed its visionary recommendations after extensive work with a wide range of stakeholder groups and input from a broad range of constituent groups, including library users. Much of this plan continues to build on the Commission's important groundbreaking work.

In addition, the development of this plan is closely linked to the process of organizing and implementing the ongoing evaluation of the LSTA Five-Year Plan for 2002–2007. As part of the required evaluation process, the State Library identified the NOVELNY initiative as the focus for an evaluation to be conducted by an outside consultant. The process, which consisted of a web-based survey, focus groups, and personal interviews, collected the opinions and suggestions of hundred of librarians and other NOVELNY users. The results have helped to shape the contents of this plan. (The Five-Year Evaluation Report for the 2002–2007 plan will be available in the spring of 2007 and will be posted on the State Library website.)

The crafting of New York's third LSTA Five-Year Plan has directly involved a large number of stakeholders throughout the process, including the Regents Advisory Council on Libraries, whose 12 members are broadly representative of libraries and statewide constituencies served by the New York State Library; the NOVELNY Steering Committee; leaders of libraries and library systems of all types; and others, in addition to wide representation from staff of the New York State Library.

Drafts of the plan have been sent electronically to members of the Regents Advisory Council, the NOVELNY Steering Committee, and the library systems. A draft of the plan was posted on the State Library's website, and comment invited through messages on NYLINE, New York's listserv for the library community.

In addition to including a wide range of stakeholders in the development of this plan, the State Library will continue to involve these stakeholders in various aspects of its implementation. For example, expanding and enhancing NOVELNY resources and services will require the cooperation and collaboration of many individuals and groups as well as libraries and library systems of all types—e.g., the Executive and the New York State Legislature, other government agencies, educational groups, businesses, the vendor community, and library organizations such as the New York Library Association and the New York State Association of Library Boards.

The Regents Advisory Council will ensure that execution of the third LSTA Five-Year Plan is coordinated with the overall plan and priorities of the New York State Library, bringing a unified approach to statewide library policy in terms of federal funding and funding from New York State.

COMMUNICATIONS

After this plan has been approved by IMLS, it will be published on the New York State Library website and will be available on the website throughout the term of the Five-Year Plan.

The State Library is aware of a need to communicate clearly to the library community the rationale for the content of the new Five-Year Plan and for any annual Grant Program Guidelines. More frequent use of new technologies will be enlisted to assure broader and deeper coverage of issues related to the LSTA program within the library community.

The State Library has informed the library community that the plan may be amended annually. In addition, the State Library will work closely with ad hoc committees and specific groups within the library community to discuss the plan's implementation, to develop Grant Program Guidelines, and to manage other important issues relating to the LSTA program.

MONITORING PROCEDURES

The State Library will assign staff to track implementation of the Five-Year Plan, prepare reports as required, and monitor any subgrantee projects funded under an LSTA grants program. Library Development staff who have consulting and liaison roles will make as many onsite visits as possible. Currently, reports are required from each subgrantee, and these reports will be a part of the monitoring procedure.