

Library Services and Technology Act	For LD Use Only				
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	Project #	0070 - 05-			
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**GRANT APPLICATION - FY 2005 and FY 2006**

Two of the four copies of each application and related forms must contain original signatures.

Please check here if this set contains all **ORIGINAL SIGNATURES** ( )

System/Library Name: South Central Regional Library Council		
Project Title: Continuous Improvement for Libraries		
Project Director's Name: Jean Currie	Telephone # ( 607 ) 273-9106 Email address: <a href="mailto:jcurrie@lakenet.org">jcurrie@lakenet.org</a>	
System/Library Director's Name: Jean Currie	Telephone # ( 607 ) 273-9106 Email address: <a href="mailto:jcurrie@lakenet.org">jcurrie@lakenet.org</a>	
LSTA Funds Requested: Year 1 \$ 75,000 Year 2 \$ 42,000	In-Kind Contribution: \$ 148,000 Matching Funds \$	Year 1 Year 2 \$75,300
Number of <b>users</b> you anticipate serving ( <b>not</b> a population figure): 270 over two years		
Please identify ( ) <b>all</b> of the <b>user groups</b> you expect to serve through this project: ( ) Children ( ) Youth ( X ) Adults ( ) Elderly ( ) Mixed ( ) Other		
Congressional District(s) Within Area to be Served by Project: 20,22,24,29 (List by number -- See Congressional Districts List)		
( X ) Two-year application ( ) One-year (4/1/05—3/31/06) only	( X ) Statewide cooperative application ( X ) Letters of support included	

<b>GRANT PROJECT CATEGORIES</b>
Check one category
( ) Access/Electronic Content (AEC) <b>or</b> ( ) Training for Technology (TT) (Includes SLS DDIP)
( ) Services to Special Client Populations (SCP) <b>or</b> ( ) Services to Families and Youth (SFY)
( X ) Service Improvement (SI)

<b>These items are required. Please check off.:</b>	
( X- ) MacBride Certification ( X ) Omnibus Procurement Certification ( X- ) CIPA Certification	( X ) Federal Certification re Debarment, Lobbying, Drug-Free Workplace; Federal Debt Status, and Nondiscrimination

Applications must be **received** in Library Development Office by 5:00 PM Friday, November 5, 2004

Faxed applications **will not be** accepted.

Applications submitted without an abstract **will not be** considered.

Send **4 copies** of each application, FS-10 and related forms to:

Answers to questions should completely address the questions while remaining as concise as possible. Each response should be numbered in the same order as listed below. Answers should be single-spaced in 12 point font on one side of paper. Attach your answers to the questions between pages 1 and 3 of the application form. Do not use special covers or binders.

**Abstract.** Provide a brief abstract of no more than 200 words. It should include purpose, identified target audience, and intended results only. **0 Points**

Assessment and accountability have become key issues for libraries. Funding and accrediting agencies are insisting on proof that funds are spent effectively and that service outcomes can be measured. Libraries must assess and improve services, indicate outcomes, and show value. This statewide project will provide additional opportunities for training in continuous library assessment and rapid cycle improvement.

A highly successful series of eight workshops in each of three locations across New York State in 2003-2004 will be modified and repeated in 2005-2006 for a new audience unable to attend the first series. The series will focus on service assessment and continuous improvement for teams from academic, public, and special libraries. Modeling continuous improvement, the new series will offer improved workshops in which participants will learn assessment and outcomes-based evaluation tools, and use homework assignments between sessions to try these tools on specific library services. Participants will implement assessment and improvement tools and will provide models of their use in improved processes and services. In 2006-2007, the series will be shortened to focus on the key issue of Process Mastering. In each series, one day will be used as a “follow-up reunion” for participants in previous series.

Key objectives are:

- Develop the “aim” of the library, including shared mission, vision, and values.
- Identify key success factors, key processes, outcomes, and methods for assessing progress and impact.
- Practice using a variety of simple, engaging new tools for decision-making and assessment, and understand when they are most appropriately used.
- Incorporate the tools into ongoing work processes at participating libraries to improve services.

The South Central Regional Library Council (SCRLC) will coordinate the activities of the project on behalf of, and with the help of, the nine NY3Rs.

## 1. Need

**Points**

a. Describe the needs assessment process and defined need for this project.

**7**

Demands for assessment and accountability are increasing in all libraries. Funding agencies and administrations want to know what they are getting for their money, how a library is meeting the needs of its users, and that funds are used effectively. Return on investment is no longer a term used only in the corporate world – it is increasingly used in the not-for-profit arena and is becoming a familiar term to library staff.

The following needs will be met by this project:

- Staff of libraries not able to attend the first workshop series in 2003-2004 (registrations limited or the timing was not good), have indicated they want another chance to attend.

- Academic libraries requested a follow-up to the LibQUAL+™ assessment process carried out in New York in 2002/2003. Now that they have the results, what do they do next?
- Libraries need to demonstrate to funding agencies and administrations outcomes and/or the impact of services they provide.
- Libraries need models for evaluating plans, services, and projects more effectively.
- Libraries need to learn how to be more productive and efficient as their resources dwindle.
- Libraries need practical training in tools that can help them assess and improve services.
- Libraries need to learn how to identify key success factors in improved customer service.
- Libraries need to learn how improved processes can improve outcomes.
- Libraries need to learn techniques leading to rapid cycle improvements to establish a culture of continuous improvement within their staffs.
- The need for a follow up reunion day for previous participants was a frequent request from 2003/2004 participants for sharing and reinforcement of success stories.

These needs have been identified from a number of sources:

- Discussion among the nine NY3Rs directors based on information gathered through their close ties with their member libraries and feedback since the previous 2003-2004 series.
- In many venues<sup>1</sup>, academic libraries have noted their concerns about meeting the requirements of the new Middle States<sup>2</sup> accrediting process which now incorporates intensive assessment of services. The statewide LSTA project sponsored by the NY3Rs to use the Association of Research Libraries LibQUAL™ service assessment tool<sup>3</sup> came out of these discussions in 2002. As libraries have implemented the survey, and are dealing with the results, they now indicate a need to develop strategies to improve the problematic services identified in the survey.
- Libraries have indicated a need to continue assessing needs, but not necessarily through continuation of the LibQUAL+™ process which is time consuming, expensive, and not generally appropriate for annual use.<sup>4</sup>
- The NY3Rs implemented the Continuous Assessment, Continuous Improvement workshops in 2003-2004 to meet these needs. Registrations were limited both by space and workshop format. Feedback from those not able to come indicates there is still an audience wishing to learn the Continuous Assessment, Continuous Improvement process.
- There are other programs attempting to address these issues, confirming the existence of the need:
  - In New York, public libraries have embarked on a series of statewide activities related to the Public Library Association Planning for Results process (Facilitation for Results, Managing for Results, Policies for Results etc.).
  - ARL is now beginning a set of follow-up workshops to the use of the LibQUAL+™ instrument<sup>5</sup>.

<sup>1</sup> SUNY Council of Library Directors, Annual Conference, March, 2002 and 2003; Academic Library Directors Biennial Conference, October 2003, and the follow-up symposia *Information Literacy and Middle States Accreditation; How do we measure up?*, Geneva and New York City, 2004; *Creating a Culture of Assessment, An ARL OLMS Workshop*, Rochester and New York City, July 2002.

<sup>2</sup> Middle States Commission on Higher Education. Accreditation Process. [www.msache.org](http://www.msache.org)

<sup>3</sup> [www.arl.org/libqual/](http://www.arl.org/libqual/)

<sup>4</sup> Personal communication from an academic library in the SCRLC region. Personal communication to the CDLC Executive Director from several academic libraries in the CDLC region.

<sup>5</sup> Personal Communication, ARL office, April 2003.

- The reunion request came from the 2003-2004 evaluations and in-person comments after the series was completed. Participants want to hear of success stories and gain further support for their own efforts.

Libraries are looking for specific, practical, easy-to-use tools that can be used by all staff on a continuous basis in small but effective assessment and improvement steps. The proposed project will address this topic in depth with a range of techniques and tools, and the ability to practice and implement these for immediate feedback.

- b. Explain how the project relates to the goals, activities, and intended results of the system Plan of Service or the central library long-range plan. **3**

As the coordinating agent for this project, the SCRLC Plan of Service is referenced below. However, all the NY3Rs have similar goals and activities such as: provision of education and training opportunities, helping libraries add value to their services, cooperative efforts with other organizations, responding to members' needs, responding in a timely fashion to topics of immediate importance, and helping members improve services to their library users.

A key strategic intention of SCRLC is to ***Develop well trained, flexible, creative library staff who are able to manage rapid change through Council-sponsored education and training opportunities.*** Activities in this strategy include provision of education in future trends; education in the practical, just-in-time, need-it-now issues; and seeking opportunities to cooperate and collaborate with others. Outcomes from these activities will include high quality, relevant training at times and places that meet library staff needs.

The planned project addresses this strategy, activities, and outcomes because it will provide specific training in three issues that are of immediate concern to all types of libraries: assessment, improvement, and outcomes-based evaluation. It will also ultimately benefit library users with improved library services: information access, customer service, collections, facilities, and technologies.

A second key strategic intention is that ***Members will receive innovative consulting and customer services to meet their individual needs.*** Activities in this strategy include seeking funding for regional projects and partnering with other library organizations to meet our mission to improve library service in the region. A key outcome is that libraries will receive relevant and useful advice, referrals, and consulting to meet their needs.

The planned project meets this strategy, activities, and outcomes because it will provide training in a format that will have lasting impact – a series of workshops with homework assignments to ensure that what is learned is implemented. It will also train staff in techniques that can be integrated into their daily work processes.

A third key strategic intention is that ***Members will receive enhanced recognition and status in their community as a result of regional advocacy.*** Activities in this strategy include providing leadership in helping regional libraries redefine their roles and services in the new information age. A major outcome is that libraries will get increased funding and publicity. The planned project meets this strategy, activities, and outcomes because it will provide training in tools that will improve library services and thus benefit the library in improved publicity, funding, and community support.

A fourth key strategy is ***Cooperative efforts with other library systems.*** Activities in this strategy include partnering with other professional organizations such as the NY3Rs provide

value-added services to regional libraries. Major outcomes will be that library services will be enhanced and SCRLC (and the NY3Rs) will have a leadership position that enhances services to libraries.

The planned project meets this strategy, activities, and outcomes because it will offer a collaborative activity that makes effective use of limited resources in a statewide project meeting shared needs of many types and sizes of libraries.

### **Partnerships:**

This project has been developed on behalf of nine regional library councils in New York (NY3Rs), and with planning input from them. It continues a partnership that has supported other statewide activities such as the HEA Title II project on Internet access for academic libraries, the IMLS-supported project on EmpireCat (planning for a statewide virtual catalog), education and training programs on Z39.50, the ARL Creating a Culture of Assessment workshop, five Biennial Conferences for Academic Library Directors, two symposia on Assessment and Middle State Accreditation in 2004, the LSTA supported LIBQual+™ service assessment survey, and the LSTA supported Continuous Assessment and Continuous Improvement series in 2003- 2004. This current proposal is designed in particular to complement the previous efforts on assessment, which began in 2002. See NY3Rs and other letters of support.

## **2. Project Purpose**

a. What is the purpose or goal of the project?

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The purpose of the project is to provide a framework for assessment and improvement activities, and to introduce and practice a set of tools that enable staff of member libraries to clarify their mission, vision, and values, to identify outcomes that clearly demonstrate their value, and to identify and improve key processes in the library.

Key objectives are:

- Develop the “aim” of the library, including shared mission, vision, and values.
- Identify key success factors, key processes, outcomes and methods for assessing progress and impact.
- Practice using a variety of simple, engaging new tools for decision-making and assessment, and to understand when they are most appropriately used.
- Incorporate the tools into ongoing work processes to improve services at each participating library.

b. Who will benefit from the project services or products? What are the intended outcomes for the users? (**Note that the target population must be a subgroup of the total served or chartered service population within a library system.**)

**5**

### **Target Audience:**

The key target audience for this project will be those libraries not able to participate in the 2003-2004 Continuous Assessment, Continuous Improvement series. In many cases, these libraries have already indicated a commitment to assessing their services, with a view to improvement, through their participation in the LibQUAL™ process. They can be expected to want to expand their knowledge of assessment and improvement techniques and to continue a culture of assessment begun in 2002.

All types of libraries will be encouraged to participate. These could include additional academic and large research public libraries, public and school library systems, and any of their members. Other

possible participants might be those with an interest in replicating this model when the project is finished. And, of course, staff of the nine NY3Rs will be encouraged to participate.

A total of 135 participants can be accommodated, representing teams of three from 45 libraries with 45 participants at each workshop location.

### **Participant Requirements:**

- The project is based on teams of 2-3 people from a library or library consortium participating in a complete series of workshops. One member of the team should be the Director or Departmental Head; others of the team should be leaders in the library staff with credibility across the whole library or those with significant ability to implement assessment and improvement tools.
- The library teams will have homework assignments between workshop sessions.
- The project requires attendance at seven workshops (Year 1) or 3 workshops (Year 2) spread out over a period of time.
- This significant time requirement indicates an associated significant commitment to the activities and outcomes of the workshops.
- Participants can attend the sessions in one of three proposed locations in the state: Batavia, Syracuse, and Highland. Year 2 locations may change based on perceived need at that time.

### **Intended Outcomes:**

- Participants will obtain several valuable results from the workshop series. They will ensure that their mission, vision, values, and goals are relevant and memorable. They will receive and learn to use a variety of tools that can be used as appropriate in their libraries, to assess user needs, and to help implement service improvements.
- Networking with other participants over the series will provide a support group that can be accessed during and after the project. This networking will be enhanced by the use of an ongoing electronic discussion list for participants.
- Library staff will develop a shared sense of purpose leading to improved teamwork.
- There will be noticeable improvements in library processes that save time, reduce errors, and improve customer satisfaction.
- As the assessment and improvement tools are implemented, significant service improvements will result. Users should notice improved service.

## **3. Project Implementation**

a. Describe the activities for **Year 1** of the project, explaining what will be done and by whom (partners, collaborators) and the evaluation steps during the year. Provide a **monthly timeline** that shows all activities including evaluation 15

Introduction:

SCRLC will contract with a consultant/presenter to provide the continuous improvement project. The project consists of seven full days of learning at about six-week intervals. Teams of up to three people from at least 45 libraries will attend all seven days; the teams will be made up of significant leaders in each library, with one of the team members being the Director or other administrator. Libraries must be committed to the process as indicated by the type of participating staff, their time commitment, and their willingness to follow through on the implementation work required between sessions. Each workshop will introduce various parts of the continuous assessment process, and participants will be

required to further develop the process, practice techniques, and implement tools as homework between the sessions:

- Session 1: (2 days) Overview of systems thinking, change theory. Mission, vision, values.
- Session 2: (2 days) Key success factors, key processes, and process mastering
- Session 3: (2 days) Data-driven continuous improvement tools and rapid cycle improvement
- Session 4: (1 day) Leadership and staff development for continuous improvement.

In addition, one day will be set aside for a reunion day for participants of the previous series in 2003-2004.

The proposed format and content of this project parallels that of the 2003-04 series and is based on extensive discussions with Sara Laughlin & Associates.<sup>6</sup>

### **Year 1 Project Activities:**

**Activity:** LSTA Guidelines necessitate a Request for Proposals (RFP) to identify a consultant/presenter for the series. The project activities proposed in this application are based on initiatives developed by Sara Laughlin & Associates, to introduce continuous improvement as developed in the business world and re-engineered for libraries. This initiative offers a proven model for continuous improvement for libraries. Respondents to the RFP will be required to provide workshop content and activities related to the continuous improvement model as outlined in this application and Appendix 1.

**Implementation:** The RFP will be advertised in winter of 2005 (noting the project is contingent on funding) by SCRLC. All NY3Rs will publicize the RFP in state and national venues, and SCRLC will select a presenter.

**Evaluation:** SCRLC will develop criteria for judging the responses to the RFP based on this proposal with an appropriate workshop presenter(s) to be chosen to begin implementing the project in April, 2005. The workshops will be held in 2005-2006. A draft RFP and criteria are attached in Appendix 2 and a draft contract with the chosen presenters is found in Appendix 3.

**Activity:** A reunion day will be held for participants in the 2003-2004 Continuous Assessment workshop series. This will allow for showcasing Continuous Assessment, Continuous Improvement efforts, sharing success stories and revisiting components of the series for clarification.

**Implementation:** The reunions will be held in the same locations as Series 1—Rochester, Albany, New York City.

**Evaluation:** An on-site evaluation will be done at the end of the day to ascertain the value of such a reunion. The collection of showcased materials will indicate successful implementation of tools and processes from Series 1.

**Activity:** A series of seven workshops will be repeated in three locations in New York State (tentatively Batavia, Syracuse, and Highland). The workshops will be in four sessions: Days 1-2, 3-4, and 5-6 will be paired in two-day sessions, with Day 7 being one day. The presenter will offer a total of 24 workshop days over a ten-month period from May, 2005 – February, 2006. Libraries and library systems will be invited to send teams of 2 to 3 people to participate in the complete series. Each workshop will have a maximum of 45 participants for a total number of 135 being accommodated across the state.

The workshops will be a mix of presentations, engaging activities, time to practice and plan, and coaching. Participants will have homework assignments between sessions, in which each team will identify and work on its own issues and questions. The results become incorporated into the next

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<sup>6</sup> <http://www.saralaughlin.com>

session. The content of the workshops will be modeled on those of Sara Laughlin & Associates as found in Appendix 1. This content will involve:

- Overview of systems thinking. Reviewing mission, vision and values.
- Rubrics for self-assessment and goal-setting. Library measures: useful tools and techniques.
- Key success factors and key processes: Identifying goals for reaching the vision and daily processes which support those goals.
- Mastering key processes: creating uniform, effective procedures.
- Data-driven continuous improvement tools.
- Rapid cycle improvement: improvement in many, fast, small steps.
- Leading and sustaining continuous improvement: integrating the techniques into daily work processes and staff thinking.

**Implementation:** SCRLC will plan the workshops in conjunction with the workshop presenters and the NY3RS in each of the three locations. Management of the logistics for each workshop series will be carried out by SCRLC and the local NY3Rs. All NY3Rs will help with publicizing the workshop series and recruiting participants. SCRLC will continue an electronic discussion list and encourage its use by participants. If problems occur at any time, the issues will be identified and the solution incorporated into planning for future activities to ensure success.

**Evaluation:** Successful short-term outcomes will be that each workshop series in each location will be fully subscribed, registered participants will attend all sessions, and each workshop will be successfully held with no logistical problems. The content and homework assignments will successfully meet the detailed outcomes noted below. Intermediate-term outcome will be that each team's presentation on the last day of the series shows significant utilization of continuous improvement tools, development of Constancy of Purpose (Mission, Vision, Values), and initial efforts at process mastering and process improvement. Longer-term outcomes include ongoing use of continuous improvement tools and strategies and documented improvements in customer service.

**Activity:** Additional components of the workshop project will include an online discussion group formed to include all statewide participants. All participants will receive books, information binders, and other media containing the tools.

**Implementation:** SCRLC will establish an online discussion group *improvement-1@lakenet.org* and will manage the list. All participants will be encouraged to use this list during and after the workshop series to ask for help, get ideas from the presenters or other participants, to talk about their successes or failures, and/or to network with their colleagues. The NY3Rs will be encouraged to participate in the discussion list. SCRLC and the presenter will develop three-ring binders with handouts and other media for each participant, and SCRLC will purchase the necessary books.<sup>7</sup>

**Evaluation:** SCRLC and the presenters will routinely review use of the discussion list to assess whether messages are substantive. Participants will assess usefulness of the workshop materials, discussion list, and other support. With permission of the participants, selected emails will be used as part of the final evaluations.

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<sup>7</sup> *The books suggested for this project are: Sara Laughlin, Denise Shockley, Ray Wilson, The Library's Continuous Improvement Field Book: Twenty-nine Ready-to-Use Tools. ALA Editions, 2003. Ray Wilson. Process Mastering: How to Establish and Document the Best Known Way to Do a Job. Quality Processes. 1998.*

Provide a **monthly** timeline for the activities including evaluation steps and Identification of those responsible for evaluation

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Timeline Year 1

<i><b>Date</b></i>	<i><b>Activity</b></i>	<i><b>Responsibility</b></i>
2004	Pre-planning: Gathered information about the need to offer continuous assessment and improvement in libraries for a new audience for proposal	SCRLC & NY3Rs
Winter 2004 - 2005	Pre-planning until contract signed: Develop RFP and selection criteria. Announce RFP (note contingent on funding) Select consultant, develop letter of agreement Begin planning workshop details	SCRLC & NY3Rs
March 2005	Sign State contract. Sign agreement with consultant.	
March - April 2005	Announce workshop series plus reunion. Substantial publicity via email and print.	NY3Rs
April 2005	Accept registrations. Participants complete the initial ASK survey. Continue workshop planning including logistics of workshops. Purchase books, develop media, print handouts, develop participant binders. Develop evaluative materials.	SCRLC, NY3Rs, Presenters
May 2005	Reunion workshops in 3 locations	SCRLC & local NY3Rs
June 2005	Workshops 1-2: System thinking. Constancy of purpose. Measures On-site evaluation at end. Make any modifications needed.	SCRLC, NY3Rs Presenters
September 2005	Workshops 3-4: Key success factors and key processes. Process mastering. On-site evaluation at end. Make any modifications needed.	SCRLC, NY3Rs Presenters
November 2005	Workshops 5-6: CI tools. Rapid cycle improvement. On-site evaluation at end. Make any modifications needed.	SCRLC, NY3Rs Presenters
February 2006	Workshop 7: Leading and sustaining change. On-site evaluation at end. Make modifications as needed.	SCRLC, NY3Rs Presenters
March 2006	Final ASK survey and other evaluations as noted below. Compile evaluations Follow-up evaluations.	SCRLC, NY3Rs Presenters
April 2006	Final report submitted.	SCRLC, NY3Rs Presenters

b. Describe the activities for **Year 2** of the project, explaining what will be done and by whom (partners, collaborators) and the evaluation steps during the year. Provide a **monthly timeline** that shows all activities including evaluation 15

Introduction:

Continuous improvement is based on the premise that systems are made up of daily processes that can be improved by the “experts,” i.e., the people who do the work. In the second year of this project, the Continuous Assessment, Continuous Improvement series will concentrate on introducing systems thinking and process improvement to those “experts.” This series, aimed at new teams from libraries of all types and sizes, will take place over three workshops. In addition, a reunion day will be offered for those participating in the complete series in 2003-04 and 2005-06.

SCRLC will contract with a consultant/presenter to provide the continuous improvement project. As in Year 1 (2005-06), there will be a day for a follow-up reunion for those participating in the previous two complete series and then there will be three full days of learning concentrating on practical process mastering and improvement. Teams of up to three people from at least 45 libraries will attend all three days; the teams will be made up of staff who are “experts” in a process within a library. These teams will look different than the teams in Year 1, since some may be support staff or paraprofessionals, rather than professional librarians. For example, if a library wishes to focus on circulation processes, the team might be made up of the circulation manager and two staff members. All libraries are welcome to send teams, but those which participated in the 2003-04 or 2005-06 series will find this a particularly valuable way to extend continuous improvement in their institutions. Libraries must be committed to the process as indicated by the type of participating staff, their time commitment, and their willingness to follow through on the implementation work required between sessions. The locations for the year 2 series will be determined from a survey to find locations that meet the travel needs of participants.

The workshops will use engaging, active techniques to introduce the key parts of the continuous assessment process, and participants will be required to further develop their processes, practice techniques, and implement tools as homework between the sessions:

Session 1: (1 day) Overview of systems thinking, Process mastering.

Session 2: (1 day) Rapid cycle process improvement.

Session 3: (1 day) Leadership for continuous improvement. Showcase of process improvement.

In addition, one day will be set aside for a reunion day for participants of the previous series in 2003-2004 and 2005-2006.

The proposed format and content of this project is based on extensive discussions with Sara Laughlin & Associates.

### **Year 2 Project Activities:**

**Activity:** If required, SCRLC will develop a Request for Proposals (RFP) to identify a consultant/presenter for the series. The project activities proposed in this application are based on initiatives developed by Sara Laughlin & Associates to introduce continuous improvement as developed in the business world and re-engineered for libraries. This initiative offers a proven model for continuous improvement for libraries. Respondents to the RFP will be required to provide workshop content and activities related to the continuous improvement model as outlined in this application and Appendix 1, selecting modified components from Sessions 1,3,4,6,7.

**Implementation:** The RFP will be advertised in winter of 2005 (noting the project is contingent on funding) by SCRLC. All NY3Rs will publicize the RFP in state and national venues, and SCRLC will select a presenter.

**Evaluation:** SCRLC will develop criteria for judging the responses to the RFP based on this proposal with an appropriate workshop presenter(s) to be chosen to begin implementing the project in April, 2006. The workshops will be held in 2006-2007. A draft RFP and criteria are attached in Appendix 2 and a draft contract with the chosen presenters is found in Appendix 3.

**Activity:** A reunion day will be held in three locations for participants in the 2003-2004 and 2005-2006 Continuous Assessment workshop series. This will allow for showcasing Continuous Assessment, Continuous Improvement efforts, sharing success stories, revisiting components of the series for clarification.

**Implementation:** The reunions will be held in the same locations as Series 2—Batavia, Syracuse, and Highland.

**Evaluation:** An on-site evaluation will be done at the end of the day to ascertain the value of the reunion. Presenters will collect showcased materials that indicate successful implementation of tools and processes from previous series.

**Activity:** A series of three workshops will be repeated in three locations in New York State (to be determined by need). The workshops will be in three sessions: Workshops 1, 2 and 3 will be one day each. The presenter will offer a total of 9 workshop days over a ten-month period from June, 2006 – February, 2007. Libraries and library systems will be invited to send teams of 2 to 3 people to participate in the complete series. Each workshop will have a maximum of 45 participants for a total number of 135 being accommodated across the state.

The workshops will be a mix of presentations, engaging activities, time to practice and plan, and coaching. Participants will have homework assignments between sessions, in which each team identifies and works on its own issues and questions. The results become incorporated into the next session. The content of the workshops will be modeled on those of Sara Laughlin & Associates as found in Appendix 1. This content will involve:

- Overview of systems thinking. Reviewing the vision and mission. What measures are useful.
- Key success factors and key processes: what we are measuring and how we know we are successful.
- Mastering key processes: creating uniform, effective procedures.
- Rapid cycle improvement: improvement in many, fast, small steps.
- Leading and sustaining continuous improvement: integrating the techniques into daily work processes and staff thinking.

**Implementation:** SCRLC will plan the workshops in conjunction with the workshop presenters and the NY3RS in each of the three locations. Management of the logistics for each workshop series will be carried out by SCRLC and the local NY3Rs. All NY3Rs will help with publicizing the workshop series and recruiting participants. SCRLC will continue an online discussion list and encourage its use by participants. If problems occur at any time, the issues will be identified and the solution incorporated into planning for future activities to ensure success.

**Evaluation:** Successful outcomes will be that each workshop series in each location is fully subscribed, registered participants attend all sessions, and each workshop is held with no logistical problems. The content and homework assignments will meet the detailed outcomes noted below. Intermediate-term outcome will be that each team's presentation on the last day of the series shows significant efforts at process mastering and process improvement. Longer-term outcomes show documented improvements in processes and customer service.

**Activity:** Additional components of the workshop project will include continuation of the online discussion group formed to include all statewide participants. All participants will receive books, information binders, and other media containing the tools.

**Implementation:** SCRLC will continue to maintain an online discussion group *improvement-l@lakenet.org* and will manage the list. All participants will be encouraged to use this list during and after the workshop series to ask for help, get ideas from the presenters or other participants, to talk about their successes or failures, and/or to network with their colleagues. The NY3Rs will be encouraged to participate in the discussion list. SCRLC and the presenter will develop three-ring binders with handouts and other media for each participant, and SCRLC will purchase the necessary books.<sup>8</sup>

**Evaluation:** SCRLC and the presenters will routinely review use of the discussion list to assess whether messages are substantive. Participants will assess usefulness of the workshop materials, discussion list, and other support. With permission of the participants, selected emails will be used as part of the final evaluations.

Provide a **monthly** timeline for the activities including evaluation steps and identification of those responsible for evaluation

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Timeline Year 2

<i>Date</i>	<i>Activity</i>	<i>Responsibility</i>
2005-2006	Preplanning: Review information on the previous two series to work with presenters on modifications to Series 3 (Year 2) to meet the needs of a new audience.	NY3Rs
Winter 2005 – 2006	Preplanning until State contract signed: Develop RFP and selection criteria if needed. Announce RFP. (Note contingent on funding). Select consultant, develop letter of agreement. Begin planning workshop details.	SCRLC & NY3Rs
March 2006	Sign State contract. Sign agreement with consultant.	
March – April 2006	Announce workshop series plus reunion. Substantial publicity via email and print.	NY3Rs
February – August 2006	Accept registrations. Participants complete the initial ASK survey. Continue workshop planning including logistics of workshops. Purchase books, develop media, print handouts, develop participant binders. Develop evaluative materials.	SCRLC, NY3Rs, Presenters
June, 2006	Reunion workshops in 3 locations	SCRLC & local NY3Rs
September 2006	Workshop 1: Systems thinking. Constancy of Purpose. Measures. On-site evaluation at end. Make any modifications needed.	SCRLC, NY3Rs Presenters

<sup>8</sup> *Ibid.*

November 2006	Workshop 2: Key success factors, key processes. Process mastering. On-site evaluation at end. Make any modifications needed.	SCRLC, NY3Rs Presenters
February 2007	Workshops 3: Leadership. Showcase. On-site evaluation at end	SCRLC, NY3Rs Presenters
March-April 2007	Final ASK survey and other evaluations as noted below. Compile evaluations. Write and submit final report	SCRLC, NY3Rs Presenters

#### 4. Evaluation of Results

a. What will you measure in what specific time periods to provide quantitative data about your project's service or product outputs? (Outputs are a direct program product, typically measured in numbers, such as participants served, workshops given, materials developed, etc.) 10

Both outputs and outcomes will be measured according to the precepts outlined in Thomas Guskey's book *Evaluating Professional Development*.<sup>9</sup>

Outputs to be measured will include:

- Number of libraries participating.
- Names of participants and their positions in each library.
- Compilation of the handouts and other materials provided during the project.

Evidence of outcomes will be measured using:

- (Guskey Level 1 and 2) Satisfaction and learning of participants. Formative Plus/Delta evaluations and private written evaluations from each workshop session will be summarized for the speakers to modify sessions as needed and to provide feedback on the project in general. At the final session, participants will rate the overall series in a summative written evaluation.
- (Guskey Level 2 and 4) The presenters will assess "levels of understanding" at the initial and final session.
- (Guskey Level 2, 3, 4, and 5) Selected copies of email messages in the online discussions (with participants' permission).
- (Guskey Level 2, 3, and 4) Constancy of Purpose (Mission, Vision, Values and Measures) statements developed by each participating library will be shared at sessions and added to the project website.
- (Guskey Level 2, 3 and 4) System maps from each participating library will demonstrate understanding of suppliers, inputs, outputs, customers, feedback loops, and processes within the library.

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<sup>9</sup> These are based on five staff development outcomes suggested by Thomas R. Guskey in *Evaluating Professional Development*. Thousand Oaks, CA. Corwin Press, 2000: Level 1: participant reactions, Level 2: learning/knowledge, Level 3: supportive context/working environment, Level 4: implementation, Level 5: improved processes/outcomes.

- (Guskey Level 3, 4, and 5) Abstracts demonstrating that participants have used the tools, created process masters and made initial process improvements will be added to the project website and included in the final project report.
- (Guskey Level 2, 3, 4, and 5) Follow-up communications after the series has ended will include reports on implementation of tools and strategies in the libraries, process improvements, and customer service impact.

With the aid of the NY3Rs, SCRLC will keep the records needed to measure these outputs from registrations, attendance, workshop materials, and information gathered from each workshop and the discussion list. We will collect products from each session (including system maps, mission/vision/values, measures, process masters, and data from rapid cycle improvements), which demonstrate learning and use in the library. Many of the materials will be added to the web site for the project: <http://www.ny3rs.org/CIfont.html>

b. What will you measure in what specific time periods to show the outcomes or impacts of your services or products on the identified target population? (Outcomes involve changes in the target audience's skills, attitudes, knowledge, behavior, status, etc. as a result of this project.) 10

We will attempt to measure the following outcomes:

<b>Outcome</b>	<b>Evidence</b>	<b>Tool</b>
(Knowledge and Skill) Increased knowledge of systems thinking. Increased knowledge of, and skill in, using continuous improvement tools and strategies. Increased knowledge of, and skill in, process mastering and rapid cycle process improvement.	Self-reporting at the beginning and end of the project. Constancy of Purpose statements (Mission, Vision, Values, Measures). Use of continuous improvement tools and strategies. Process masters and data showing process improvements.	Forms and oral reports provided at each workshop. Listserv. Website. Handouts collected at workshops. Showcase at final workshop. Abstracts submitted by participating teams.
(Behavior) Noticeable improvement in processes.	Process masters and data showing process improvements.	Homework reports. Showcase at final workshop. Abstracts submitted by participating teams. Follow-up listserv and e-mail postings.
(Behavior) Positive changes in customer service.	Reports of customer market research from libraries.	Homework reports. Showcase at final workshop. Abstracts submitted by participating teams. Follow-up listserv and e-mail postings.
(Attitude) Shared sense of purpose by library staff leading to improved teamwork.	Use of continuous improvement tools and strategies. Process masters and data showing process	Homework reports. Showcase at final workshop Abstracts submitted by participating teams Follow-up listserv and e-mail

	improvements. Reports at workshops. Showcase at final workshop.	postings.
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SCRLC will work with the presenters to develop the various questions and evaluative tools to ascertain these outcomes. The nine NY3Rs will help with the follow-up evaluations from participants in their region. The presenter and/or SCRLC will compile the results. The timing of evaluations is noted in the monthly timelines.

**Budget Narrative**

a. In **narrative form**, explain the importance of each budget item and how it contributes to the Project Implementation for **Year 1**. (For staff requests include job descriptions; for contractual services of \$5,000 and over provide a draft contract.) List the **dollar amount and source** of other funds or in-kind services provided by the applicant and any participating organization to be used to carry out the project, including matching funds for equipment and software of \$5,000 or more. (These figures must agree with the in-kind and matching figures on page 1.) 15

**Year One Project Costs**

The proposal requires funds to cover the costs of presenters, handouts, and media for participants. An RFP will be developed to identify an appropriate presenter(s) or organization to provide the workshop series. Participants will pay a small registration fee to cover refreshment costs and perhaps some of the handouts. In-kind contributions will include: travel and overnight accommodation for the participants; participants’ time to carry out the homework assignments; administrative costs for managing the project by the NY3Rs, and workshop space in library or NY3Rs meeting rooms in each of the three locations.

**Budget Narrative:**

**Grant funds:** Because of the highly interactive nature of the workshops, two presenters will be required to work with 45 participants at each workshop. The costs for this workshop series include two speakers to provide the seven workshops and one reunion in three locations, including the preparation time to customize the presentations for the specific participants in this New York statewide project. The series is held over a period of months so participants can implement the information in homework assignments in order to instill the tools into daily work processes. The presenters will likely come from out of state necessitating travel costs to, and within, New York State for the complete series in three locations. The budgeted cost for the presenters is a total of \$66,000 to cover their fee, travel, and accommodation (the presenters will be responsible for arranging the travel/accommodation). A sample breakdown might be:

Two speakers at \$800 per day each for 24 days	\$38,400
Expenses:	
o Travel to and within NYS	\$18,000
o Hotel, 24 nights, 2 presenters @ \$200/night	\$ 9,600

Each participant will receive a three-ring binder of handouts, a toolkit of forms burned onto a CD, and two books.

Supplies (135 participants @ \$16.66 binder)	\$ 2,250
Books: 135 @\$50 (for two books)	\$ 6,750

**Total grant costs: \$75,000**

**In-kind project costs:**

The costs provided by both participants and the NY3Rs will be substantial and will include time involved in workshops, homework assignments, modest workshop fees to cover refreshments, administrative costs by the NY3Rs, and meeting space.

**Budget narrative:**

**Participant funds:** Participants will be asked to pay a small amount for each workshop to cover food costs and handouts. They must cover their own travel, and if necessary, overnight accommodation for each two-day workshop. They will also contribute significantly in time both for the workshop series and for the required homework between sessions. All costs are estimated; cost per participant is estimated to be \$966, cost per library team of 3 is estimated to be no more than \$2,900 for the complete series of 8 workshops (including reunion).

Workshop fees (135 participants X 8 days @ \$25/workshop)	\$27,000
Travel/accommodation (45 teams X 5 sessions @ \$100/session)	\$22,500
Time in homework (135 X 20hours @\$30/hour)	\$81,000

**Total participant costs:****\$130,500**

**NY3Rs funds:** The NY3Rs, and particularly the South Central Regional Library Council, will pick up administrative and other incidental costs to manage the project. The NY3Rs in each of the workshop locations will spend considerable time managing the sessions in their region – meeting logistics, etc. It is estimated that overall management of the project will take 200 hours @\$30/hour in salary and benefits to cover the RFP process, planning workshops, overseeing workshop logistics, ensuring each workshop is proceeding as planned, evaluations, reporting. The NY3Rs involved in the three workshop locations are estimated to spend 10 hours @\$30/hour for salary and benefits per workshop in managing “their” workshops. All NY3rs will provide time in recruiting participants, following up with participants in their region, and helping in the evaluation processes. This is estimated to require 10 hours per 5 regional participants (averaged over the nine regions) @ \$30/hour for salary and benefits.

Administrative time, SCRLC 200 hours @\$30	\$6,000
Workshops, NY3Rs 240 @ \$30/hour	\$7,200
NY3Rs participation 10 X 9 @ \$30	\$2,700

**Total NY3Rs costs****\$15,900**

**Local library funds:** Local institutions (libraries or NY3Rs) will contribute meeting space. Customary rental costs are estimated at \$100/day per room.

Rental space 24 days @\$100	\$2,400
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**Total meeting space costs****\$2,400****Total in-kind costs:****\$148,800**

b. In **narrative form**, explain the importance of each budget item and how it contributes to the Project Implementation for **Year 2**. (Follow all instructions under 5a.) **15**

### **Year Two Project Costs**

The proposal requires funds to cover the costs of presenters, handouts, and media for participants for a project modified and reduced in size from the previous year. If necessary, an RFP will be developed to identify an appropriate presenter(s) or organization to provide the workshop series. Participants will pay a small registration fee to cover refreshment costs and perhaps some of the handouts. In-kind contributions will include: travel and overnight accommodation for the participants; participants' time to carry out the homework assignments; administrative costs for managing the project by the NY3Rs, and workshop space in library or NY3Rs meeting rooms in each of the three locations.

#### **Budget Narrative:**

**Grant funds:** Because of the highly interactive nature of the workshops, two presenters will be required to work with 45 participants at each workshop. The costs for this workshop series include two speakers to provide the three workshops and one reunion in three locations, including the preparation time to customize the presentations for the specific participants in this New York statewide project. The series is held over a period of months so participants can implement the information in homework assignments in order to instill the tools into daily work processes. The presenters will likely come from out of state necessitating travel costs to, and within, New York State for the complete series in three locations. The budgeted cost for the presenters is a total of \$33,000 to cover their fee, travel, and accommodation (the presenters will be responsible for arranging the travel/accommodation). A sample breakdown might be:

Two speakers at \$800 per day each for 12 days	\$19,200
Expenses:	
o Travel to and within NYS	\$ 9,000
o Hotel, 12 nights, 2 presenters @ \$200/night	\$ 4,800

Each participant will receive a collection of handouts, a toolkit of forms burned onto a CD, and books.

Supplies (135 participants @ \$16.66 binder)	\$ 2,250
Books: 135 @ \$50 (for two books)	\$ 6,750

**Total grant costs: **\$42,000****

#### **In-kind project costs:**

The costs provided by both participants and the NY3Rs will be substantial and will include time involved in workshops, homework assignments, modest workshop fees to cover refreshments, administrative costs by the NY3Rs, and meeting space.

#### **Budget narrative:**

**Participant funds:** Participants will be asked to pay a small amount for each workshop to cover food costs and handouts. They must cover their own travel, and if necessary, overnight accommodation for each two-day workshop. They will also contribute significantly in time both for the workshop series and for the required homework between sessions. All costs are estimated; cost per participant is estimated to be \$466 for the series of 4 workshops (the reunion is included in these figures).

Workshop fees (135 participants X 4 @ \$25/workshop)	\$13,500
Travel/accommodation (45 teams X 2 sessions @ \$100/session)	\$ 9,000
Time in homework (135 X 10hours @ \$30/hour)	\$40,500

**Total participant costs: **\$63,000****

**NY3Rs funds:** The NY3Rs and particularly the South Central Regional Library Council will pick up administrative and other incidental costs to manage the project. The NY3Rs in each of the workshop locations will spend considerable time managing the sessions in their region – meeting logistics, etc. It is estimated that overall management of the project will take 100 hours @\$30/hour in salary and benefits to cover the RFP process, planning workshops, overseeing workshop logistics, ensuring each workshop is proceeding as planned, evaluations, reporting. The NY3Rs involved in the three workshop locations are estimated to spend 10 hours @\$30/hour for salary and benefits per workshop in managing “their” workshops. All NY3rs will provide time in recruiting participants, following up with participants in their region, and helping in the evaluation processes. This is estimated to require 5 hours per 5 regional participants (averaged over the nine regions) @ \$30/hour for salary and benefits.

Administrative time, SCRLC 200 hours @\$30	\$6,000
Workshops, NY3Rs 240 @ \$30/hour	\$3,600
NY3Rs participation 5 X 10 @ \$30	\$1,500

**Total NY3Rs costs** **\$11,100**

**Local library funds:** Local institutions (libraries or NY3Rs) will contribute meeting space. Customary rental costs are estimated at \$100/day per room.

Rental space 12 days @\$100	\$1,200
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**Total meeting space costs** **\$1,200**

**Total in-kind costs:** **\$75,300**

**The information on this page must accompany all applications.**

The Applicant hereby gives assurance to the New York State Library that:

1. It will maintain project records as specified by the New York State Library and will submit to the New York State Library required progress reports and a final report by the deadlines established.
2. It will file Project Expenditure Reports (FS-25) on the schedule outlined by the State Education Department's Grants Finance Office. The applicant also agrees to file a final Project Expenditure Report (FS-10-F) by the deadline established by the New York State Library.
3. All library services provided as a result of a grant for this project will be available free of charge and without discrimination to all members of the community, district, or region served. (Required by the Federal Civil Rights Act of 1964, Title VI.)
4. All products, regardless of format or method of distribution, including flyers or announcements of library programs and web sites, produced in this project will include the appropriate following acknowledgement:

This publication (production, workshop, web site) was (is) supported by (or "in part by") Federal Library Services and Technology Act funds, awarded to the New York State Library by the Federal Institute of Museum and Library Services.

Date	Signature of Chief Administrative Officer (System/Library Director)
Name and Title of Chief Administrative Officer (System/Library Director)	

**AND for School Library Systems:**

Date	Signature of BOCES/Big 5 Cities District Superintendent
Name and Title of BOCES/Big 5 Cities District Superintendent	