

ATTACHMENT A
GOAL 2A.3 MnLINK CAPACITY
LIBRARY SERVICES AND TECHNOLOGY ACT FEDERAL (LSTA) GRANT
FEDERAL FISCAL YEAR 2004

Submit one electronic copy and one fully signed and dated original and ten copies to:

Jym Wroblewski/LSTA Coordinator/ Grant Administrator/F30
State Library Services & School Technology
1500 Highway 36 West
Roseville MN 55113-4266
PH: 651-582-8805; FAX: 651-582-8731

Minnesota LSTA FY2004–Goal 2A.3 MnLINK Capacity Competitive Grant Application Follow the exact form, contents, and pagination provided by State Library Services.

A. Administrative Information: [LDS uses items A: 1-9 for federal reporting. Be specific, direct and concise.]

The below-named applicant hereby applies for a LSTA project grant as established as a priority activity under the Minnesota Five Year Plan, 2003-2007, for the use of LSTA:

1. Applicant institution name and address:

Minnesota Legislative Reference Library
645 State Office Building
100 Reverend Dr. Martin Luther King, Jr. Boulevard
St. Paul, Minnesota 55155

Minnesota Tax ID:
Federal Employer I.D. no.: 41-6007162

Minnesota Tax I.D. no. ___004405717___ Federal Employer I.D. no. ___41-6007162___

2. Name, title, telephone number and e-mail address of grant administrator and grant coordinator if different:

Robbie LaFleur, Director
651-296-8310
rlafleur@lrl.leg.mn

3a. Project Title: Incorporating Digital State Publications Within MNLINK

3b. Federal Funds Requested: \$19,730

4. Estimated number of people to be served by Project

The incorporation of archived, full-text documents into the Legislative Reference Library's catalog will serve three target populations.

1. Legislators and legislative staff members will have easy access to the full text of state agency publications. Many of the documents were created under a statutory mandate, and this access ensures the documents are available currently and in the future. (The total of legislators and staff is approximately 900; estimate that half of those potential users would access documents. – **450.**)
2. Librarians in MNLINK libraries and other libraries will be able to use the cataloging developed by the Legislative Reference Library to add virtual items to their own focused

collections, and link to the full text. For example, a public policy document may be added by an academic library, or a consumer health document chosen by a public library. (An estimate of people served would be the **users of at least the 36 original document depository libraries** around Minnesota.)

3. End users in Minnesota's public, academic, and special libraries, as well as end users at work or at home, will be able to access the full text of state documents easily through the MNLINK gateway. 59% of people in the Upper Midwest were Internet users in 2002, according to the Pew Internet and American Life Project (http://www.pewinternet.org/pdfs/PIP_Regional_Report_Aug_2003.pdf). (Estimate – 59% of the Minnesota population in 2002, **2,969,859**)

5. Identify targeted geographic location to be served; include city, county(s) or statewide:

The primary targeted geographic location is the entire state of Minnesota, although the materials accessible through MNLINK are not limited to users within our state boundaries! The secondary audience is limited only by Web access.

6. Federal Congressional District(s) within area to be served by project:

List by Congressional number: __All Minnesota Congressional districts.

7. Minnesota's LSTA Plan: The Goal number: 2 The Activity letter: A.3

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8. Relevance to LSTA Goal & Program Activity:

(“MNLINK Related Projects: Retrospective conversion and cataloging issues, planning and implementation projects”)

The Legislative Reference Library (LRL) staff will investigate cataloging issues and digital management solutions to provide electronic access to the full text of Minnesota depository publications. The solutions will also be relevant to all other libraries that plan to incorporate digital collections within their catalogs. The solutions implemented by the LRL will extend access to the full text of state publications to all public, academic, and special libraries within MNLINK.

9. Project Purpose: (Answer Who, What, When, Where, Why and How?)

Increase access to the full text of state publications through MNLINK, taking advantage of current digital technology.

This project is the foundation of the long-term goal of a new digital state publications system.

Project team members will investigate and solve cataloging and access issues to provide enhanced current and long-term digital access to the full text of Minnesota state agency publications for citizens and decision-makers via MNLINK. Web users expect the full-text of documents to be immediately accessible. This research will solve the cataloging hurdles to providing that access to digital state publications within the Library’s catalog.

This LSTA planning grant will fund an important cataloging element of a larger project of identifying, acquiring, cataloging, disseminating, and preserving state publications. The Legislative Reference Library planning team estimates that the larger planning and implementation process for a new Minnesota Digital State Publications system will be completed in two years, 2005-2006.

The mission of MNLINK is: "All people in Minnesota will have access to a wide array of high quality library services and global information resources in a range of formats whenever, wherever, and however information services are needed." The publications of Minnesota state government agencies have undisputed educational, economic, financial, cultural, and historic value in a democratic society. The addition of full text digital state publications to this portal enhances the value of MNLINK as a tool for current access to government information and for long-term research. Though many state publications are available through the publishing agencies’ own Web sites, the archived LRL electronic copies will enhance access to current users though MNLINK. They will be available indefinitely, long after they may be removed from the publishing agency’s site.

The previous State Document Depository System, administered through DocuComm at the Minnesota Department of Administration, distributed microfiche copies of state publications to 36 depository libraries around the state. The program has ceased; DocuComm no longer exists. Legislative Reference Library staff members continue their statutory mission of acquiring and cataloging state publications, analyzing the process in light of changing to a digital dissemination and preservation

program. With the Minnesota Digital State Publications Collection available via MNLINK, all citizens with a connection to the Web will have the state depository system at hand.

With microfiche of state documents no longer being distributed, the time is appropriate to move to a distribution and preservation system that increases access and takes advantage of current digital technology.

With the aid of this grant, staff members of the Minnesota Legislative Reference Library (LRL) will investigate and solve the technical problems involved in archiving the full text of state publications. They will resolve cataloging issues within the MNLINK Aleph software to facilitate the best retrieval of Minnesota state publications statewide.

From October 2004-March, 2005 LRL staff members will investigate a file management system to store the documents, and decide how to best link the electronic files to the Aleph catalog records. They will develop policies for archiving various digital formats and handling multiple editions. They will develop robust documentation of the project and processes to benefit other libraries considering similar digital projects.

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10. Project Activities/Methods

Resolve cataloging issues and determine the best way of representing the Minnesota Digital State Publications Collection within the MNPALS catalog Aleph software for the best retrieval of the documents statewide. Provide complete electronic access to all 2003-2004 publications chosen as Minnesota depository publications by having the non-electronic publications digitized. Document the research, the decisions reached, and the processes that are implemented.

If the grant is awarded, the project will begin in October 2004. The phases below will overlap.

Phase 1 (October-December 2004)

- Research the best practices for file/content management for digital collections used by other libraries, particularly other Aleph libraries (locally, nationally, and internationally). Research the solutions chosen by other states providing electronic state depository systems.
- Schedule meetings and phone conferences with identified experts and stakeholders.
- Research how to convert existing 2003-2004 print Minnesota agency publications to digital format.
- Examine cataloging issues.
- Plan documentation and communication strategies (for final documents and for periodic reporting via electronic lists).

Phase 2 (January 2005)

- Make decisions regarding catalog bibliographic and holdings record formats. Edit catalog records for existing archived documents accordingly (approximately 600).
- Identify 2003-2004 Minnesota agency publications that are not available electronically and complete conversion to digital format.
- Choose the appropriate file/content management solution for management of the digital publications.

Phase 3 (February-March 2005)

- Evaluate future budgetary needs in light of the research and decisions made in Phases 1 and 2.
- Prepare documentation; complete both a one-time report for external distribution and documentation of ongoing processes for Library staff.

Many issues are involved in the scope of this project. The goals of this project can be divided into three areas:

1. Resolve cataloging issues within the MNLINK Aleph software to facilitate the best retrieval of Minnesota state publications statewide.

Issues to be examined and resolved include, but are not limited to:

- Determine how to best incorporate multiple URLs for several editions of a serial. A possible solution is the concept of a “virtual file cabinet,” a link from the catalog record to another Web page listing the various editions available; another could be adding hot links to the Aleph holding record. This issue is tied into the choice and capabilities of the file management software.
- Determine whether URLs should be located within the bibliographic record or within the holding

record.

2. Investigate the most cost-effective processes for converting non-electronic state publications to digital format. Convert remaining non-electronic Minnesota agency publications for 2003-2004.

Issues to be examined and resolved include, but are not limited to:

- How do we make the full text of non-native pdf files searchable? How should OCR processes be handled?

3. Identify an appropriate file management or content management system for the full text of state agency publications. Currently, the Library's archived electronic documents are kept in a simple WINDOWS file structure. This interim solution does not allow for long-term management of the files.

Issues to be examined and resolved include, but are not limited to:

- Is it most cost-efficient to develop an in-house file management system/database, or best to purchase an existing software product? In particular, we will consider DigiTool, digital asset management software from ExLibris. (<http://www.exlibrisgroup.com/digitool.htm>). Since ExLibris provides the Aleph software for the LRL MNPALS catalog, it seems likely the product may integrate well.
- Since the Library's online catalog supplies robust metadata and effective, indexed access to the bibliographic records of state publications, what additional metadata elements are needed for the digital files within a file/content management system? For example, for preservation purposes, it will be important to note the software versions of documents so that they can be converted to newer platforms as needed, to ensure continued access.
- Develop policies for handling various file formats.

The following LRL staff members will have primary responsibility for the project:

David Schmidtke is the Collections Group Manager for the Minnesota Legislative Reference Library and has been with the Library for 7 years. He managed the conversion from PALS to Aleph in 2004 and has a deep familiarity with the software. He also managed the Library's 2003 pilot project to save archived copies of reports mandated by the Legislature to our server. (Details of the pilot project are found at:

<http://www.leg.state.mn.us/webcontent/lrl/scans/scanmandatereport.pdf>) David will be primarily responsible for researching the file management options and scanning options for consideration by the Library project team.

Sarah Quimby is the lead cataloger for the Minnesota Legislative Reference Library. She has been with the Library for 3-1/2 years. Sarah has honed her skills at cataloging electronic documents with workshops and self-study. Sarah will be the staff person most involved with analyzing the structure of the Aleph records and advising the team on how best to incorporate the archived documents and in preparing the project documentation.

Leif Eischen, Information Services Manager, has been with LRL for 13 years. He will be primarily involved in server planning and administration and technical consultation.

Robbie LaFleur, project leader, is the Director of the Minnesota Legislative Reference Library. She has been with the Minnesota Legislative Reference Library for 18 years.

Robert Horton, State Archivist, Minnesota Historical Society, will serve as an advisor and collaborator. His knowledge of electronic documents is important to the project. His participation will also ensure cooperation and avoid duplication of effort between the LRL and the Minnesota

Historical Society.

Other LRL staff members will round out the larger project team. Elizabeth Lincoln (Deputy Director and Head of Reference Services), Carol Blackburn (Reference Librarian), Randi Madisen (Web Services Manager), and Jess Hopeman (Acquisitions Specialist) have 54 collective years of experience with state documents. They will devote an average of 10 hours each. Lisa Knoop, LRL Business Manager, will manage the accounting and administrative monitoring of the project (1 hour/week).

Finally, outside experts will inform the project. They include:

- MNPALS technical staff
- Librarians at the former microfiche depository libraries
- Interested librarians, particularly from CALCO, the Capitol Area Libraries Consortium, and government documents librarians from the MLA/GODORT Round Table.

The full involvement of LRL team members and the expertise of outside consultants will result in a well-documented product that will establish the foundation for widespread, timely access to Minnesota state government publications via MNLINK. This LSTA planning grant will fund an important portion of the long-term goal of identifying, acquiring, cataloging, disseminating, and preserving state publications in a cost-effective digital-based system.

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11. Project Outputs:

Outputs for end users of MNLINK:

- Easy-to-use catalog records that will efficiently link MNLINK users to the full text of state agency documents.
- Established processes to continue adding digital state publications to the LRL server, with access via the LRL catalog and MNLINK gateway.
- An initial set of Minnesota agency documents available online. These will be the (2003) depository publications that were not filmed (approximately 317) and the 2004 state agency depository publications (739 total in 2003; we anticipate a similar number).
- Documentation of the research undertaken, the decisions reached, and the process developed. This documentation will inform other libraries considering incorporating digital collections in their catalogs.
- Outreach to the library community to create awareness of the availability of full-text documents via MNLINK.

12. Project Outcomes:

Following a focus group meeting on state documents hosted by the Legislative Reference Library in 2001, Larry Kellerman, Librarian at Central Lakes College in Brainerd, conducted a telephone survey of librarians at 19 2-year colleges about the availability and use of state documents on microfiche in their libraries. (Unsurprisingly, the use was low and access was often poor.)

Once this project is complete, we will use the 2001 survey as a base, and survey the same group to measure their awareness of the increased digital access, and their attitudes toward this enhancement.

13. Other Results:

This project will provide a strong basis for continuing with the larger project of identifying, acquiring, cataloging, disseminating, and preserving state publications. The research undertaken, the processes developed, and the additional questions and issues we will encounter will set the stage for further development of the Minnesota Digital State Publications system.

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14. Budget: (a. Narrative, b. Summary)

a. Budget Narrative: (Insert an additional page if needed)

A. Personnel: (contractual positions only) Administrative staff costs are in-kind or match only.

David Schmidtke and Sarah Quimby will each spend approximately 10 hours per week during the six months of the project (26 weeks). Robbie LaFleur, Project Leader, will average five hours per week; Leif Eischen 2 hours per week, and Lisa Knoop, one hour per week. Other LRL extended team members (Elizabeth Lincoln, Carol Blackburn, Randi Madisen, and Jess Hopeman) will spend about ten hours each. Total hours = 768

B. Library Materials:

C. Online Resources:

D. Equipment:

E. Furniture:

F. Telecommunications:

G. Telecommunications Equipment:

H. Automation Hardware:

I. Automation Software:

J. Staff Development:

Travel funds are requested for David Schmidtke to attend the ALA-sponsored 2004 LITA National Forum in St. Louis. More information at: <http://www.ala.org/ala/lita/litaevents/2004Forum/2004Forum.htm>) Fortuitously, this forum takes place in the first month of the project. Several sessions will provide practical background on digital projects around the country, and he will have the opportunity to network with colleagues with valuable experience and advice. (Cost, \$1230: registration, \$440; airfare, \$270; hotel, \$520)

K. Supplies:

L. Contractual:

- A half-time reference librarian will be hired for five months (October 2004-February 2005, 21 weeks). This position will partially free the primary project members, David Schmidtke and Sarah Quimby, from reference duties, to work on the project. (21 weeks x 20 hours x \$25.00 = \$10,500)
- \$5,000 of MINITEX contract cataloging is requested. In similar fashion, this will free Sarah Quimby for project work, including editing of existing records for archived publications.
- Outside scanning services are required to digitize the 2003-2004 non-digital publications. The cost estimate is based on figures from ACS, the company with the current state contract. However, several bids will be sought before choosing a vendor for this service.

M. Other: (specify)

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LSTA Project Name: __Incorporating Digital State Publications Within MNLINK__

b. Budget Summary:

	Federal-LSTA	State Funds	Local Funds	Other	Total
Personnel – Contractual Project Staff*			768 total hours of LRL staff time = \$25,768.30		\$25,768.30
Library Materials*					
Online Resources*					
Equipment* and Furniture					
Telecommunications					
Telecommunications Equipment					
Automation Hardware*					
Automation Software*					
Staff Development	Conference = \$1230				
Supplies					
Contractual*	*MINITEX Contract Cataloging = \$5000 *Back-up reference librarian = \$10,500 *Scanning services: \$3000				
Other*					
Totals	\$19,730				

- **Additional documentation required:** Please include additional information in the budget narrative page.

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15. Evaluation: How will the project be evaluated in order to determine that the intended results have been achieved. Describe plan for measuring project results (end user benefits).

If the project is successfully concluded, the following questions should be answered affirmatively. The project director will complete this evaluation.

- Has a solution been chosen to manage the electronic files, making them seamlessly accessible through the Library's catalog, and MNLINK?
- Have the cataloging issues regarding access to the files through the catalog been resolved?
- Have the remaining 2003 and the 2004 non-electronic documents been converted to digital format?
- Have the existing archived publication catalog records been edited?
- Has the documentation been completed?
- Has the Library community been alerted to the availability of archived full text available via the LRL? (This can be verified by messages sent, whether the Library's Web pages have been changed, and whether there have been hits on those Web pages.)
- Do the results of the survey of one audience, librarians at 2-year colleges, indicate that librarians are aware of the improved access and find it of value? (This measurement of outcomes is described in #12, Project Outcomes.)

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16. Assurances. The applicant assures that it will comply with the following:

- A.** Grant funds shall be used only for purposes for which granted as specified in the approved grant application or approved in an amendment to the original application filed under provisions of the grant agreement. Project may be amended once during the contractual timeline. Programmatic approval by the LSTA Coordinator must be obtained for expenses in a category that reflect more than a 10% change from the proposed budget in the approved grant application.
- B.** The Institute of Museum and Library Services (IMLS) and State Library Services, the MN state library administrative agency, requires public acknowledgement of the activities they support with LSTA funds. Your IMLS grant is recognition of excellence that should be shared with your community. As a recipient, you are required to acknowledge IMLS support and take steps to extend the award's impact on the community at large. IMLS has a logo and tag line that should be used in acknowledging IMLS and State Library support. The guidelines for crediting IMLS and the State Library are described below.

“The Institute of Museum and Library Services, a Federal agency that fosters innovation, leadership and a lifetime of learning, and State Library Services & School Technology, the Minnesota state library agency, supports the (project name) at the (library/agency name) with funding under the provisions of the Library Services and Technology Act (LSTA).”
- C.** Interest on Grant funds shall be limited to the amount allowable by federal rules and regulations, which must not exceed \$100.00 annually on all LSTA federal dollars received. This regulation (45 C.F.R. Section 1183.21(i)) applies to IMLS grants to States and State sub-grants to public libraries, public school libraries, and other agencies that are governed by State and/or Local governments. Interest earned on advances/grant awards made by the State Library Administrative Agencies to universities, hospitals, and non-profit organizations fall into a different category. These entities may keep interest amounts up to \$250 per year for administrative expenses (OMB Circular A-110 C.22 Payment (1)).
- D.** Grantees will be reimbursed on all project costs on a quarterly basis upon filing the quarterly grant payment schedule with project receipts for reimbursement attached. Twenty percent of the project allotment shall be held until final report and grant receipts are received, reviewed and accepted for audit.
- E.** A mid-year narrative report shall be filed at the six month interval of the grant year and a narrative evaluation report indicating project results and a report of grant expenditures shall be submitted to State Library Services & School Technology on forms supplied by the State Library no later than 30 days after the completion date of the project set forth in the grant agreement.
- F.** If participation by a regional library system or a member local governmental unit or member library is discontinued, ownership of the discontinuing system, unit, or member's assets, including cash or the fair market value thereof if such assets cannot be transferred by the grantee, acquired during the last three years of participation from this grant, shall revert to the Minnesota Department of Education, State Library Services & School Technology, for reassignment for library services elsewhere.
- G.** The provisions of Title VI of the Civil Rights Act of 1964, (42 USC Sec. 2000d et seq.), its regulations, and all other applicable federal and state laws, rules and regulations.
- H.** The applicant will not advertise for bids, execute any contracts, or purchase any items that will be paid for by grant funds before receiving a fully executed and signed copy of the grant contract.

- I. We, the undersigned, certify that the data given in this application are true and correct to the best of our knowledge and belief.

Date

Board President

Date

Director/Administrator

Submit one electronic copy and one fully signed and dated original to State Library Services & School Technology by 4:00 p.m. on Friday, July 9, 2004.