

CALIFORNIA STATE LIBRARY
FY 2014/15
LSTA STATEWIDE GRANT APPLICATION

ELEMENT 1: BASIC INFORMATION

Applicant Information

- | | | | |
|--|---|--------------|------------|
| 1. Library/Organization
Califa Group | 2. Library's DUNS Number
135909930 | | |
| 3. Internet Web Site Address
http://califa.org | | | |
| 4. Project Coordinator Name & Title
Wayne Walker, Operations Manager | 5. Email Address
wwalker@califa.org | | |
| 6. Business Phone Number
650-356-2125 | 7. Fax Number
650-349-5089 | | |
| 8. Mailing Address | | | |
| PO Box or Street Address | City | State | Zip |
| 35 West 25 th Ave. | San Mateo | CA | 94403-2265 |

Project Information

9. **Project Title** Zip Books for Rural Libraries -- Year 2
10. **LSTA Funds Requested** \$297,000
11. **Cash Match** \$0
12. **In-Kind** \$149,000
13. **Total Project Cost** \$446,000
14. **Federal Library Services & Technology Act (LSTA) Purpose** (Check one purpose which best describes the project)
- Developing library technology, connectivity and services**
- Providing targeted services to diverse populations or persons who have difficulty accessing services**
- Providing services to promote life-long learning**
- Developing public and private partnerships**
15. **California's LSTA Goals** (Check all that describe the project)
- | | |
|--|--|
| <input checked="" type="checkbox"/> Literate California | <input type="checkbox"/> Bridging the Digital Divide |
| <input type="checkbox"/> 21st Century Skills | <input checked="" type="checkbox"/> Information Connections |
| <input type="checkbox"/> 22nd Century Tools | <input type="checkbox"/> Community Connections |
| <input type="checkbox"/> Content Creation/Preservation | <input checked="" type="checkbox"/> Ensuring Library Access for All |
16. **Number of persons served** (The number of persons who use or will benefit directly from this project) 12000
17. **Congressional District (s) number** Statewide
18. **Primary Audience for project** (Check at least one, maximum of three)
- | | |
|--|--|
| <input checked="" type="checkbox"/> Adults | <input type="checkbox"/> Public library trustees |
| <input checked="" type="checkbox"/> Children | <input checked="" type="checkbox"/> Rural Populations |
| <input type="checkbox"/> Institutionalized persons | <input type="checkbox"/> Senior Citizens |
| <input type="checkbox"/> Library Staff & Volunteers | <input type="checkbox"/> Statewide public |
| <input type="checkbox"/> Non/limited English speaking persons | <input type="checkbox"/> Urban populations |
| <input type="checkbox"/> People with special needs | <input type="checkbox"/> Young adults and teens |
| <input type="checkbox"/> Pre-school children | |
19. *This signature certifies that I have read and support this LSTA Grant Application.*
- Director Name:** Linda Crowe
- Mailing Address** _____ **City** _____ **Zip** _____
(if different from above)
- Director Signature:** _____ **Date:** _____

ELEMENT 2: PROJECT BACKGROUND AND SUMMARY

Describe how this project was identified as a need, how it relates to your strategic plan, and what will be accomplished if this project is implemented. Should relate to activities in the timeline (Element 4) and include statistical info to support project. Limit to one page and use 12 point font.

Severe funding reductions in recent years have spurred Califa and its partner, the California State Library, to examine and reinvent resource sharing to make it more cost-effective. This led to the development of a pilot project, "Zip Books for Rural Libraries," which was implemented in FY 2013/14. This project, modeled after a 2011/12 LSTA project undertaken by several Northern California counties, utilizes a central website, Amazon.com, to purchase and direct-deliver printed books to customers, that would previously have been borrowed through traditional interlibrary loan. The intention was to test an alternative to traditional ILL service that eliminates the need for expensive bibliographic utility fees and library-to-library ground delivery of items, saving staff time in the process. The participating libraries in the 2011/12 saw a reduction in ILL costs from \$28 per item to under \$10 using the "Zip Books" model. The preliminary data from the Zip Books project currently underway indicate similar results.

The current request is to test the Zip Books model in a wider range of libraries, in order to gather more data and proof of concept and establish best practices. In this phase of the project, the number of participating libraries will be nearly double the number that began the project in 2013/14 (30 as opposed to 16). Because we are bringing most of these libraries on board in the last half of the 2013/14 project, their Zip Books service will be well-established by the beginning of the 2014/15 fiscal year. At the end of the FY, we should have solid data to determine whether the Zip Books model lives up to its promise as a cost-effective, efficient alternative to traditional ILL.

Preliminary results from the current year show that this service is wildly popular amongst library patrons, and is relatively easy for participating libraries to implement.

Among our intended accomplishments: a) a new model of service to obtain and deliver to customers books not currently owned by local libraries; b) an alternative to traditional, expensive interlibrary loan practices; c) faster, less expensive, more flexible ILL-type services; d) a means for libraries to add to their collections by purchasing materials "on demand"; e) a way to support library efforts to provide service to the community in a sustainable, environmentally-friendly manner; and f) establishment of a possible option for the use of CLSA Communication and Delivery funds in the future.

This project relates to CSL's 2013-17 LSTA 5-year plan as follows: Goal VI, Information Connections; Program I (develop platforms that support the connection and distribution of content statewide); and Goal VIII, Ensuring Library Access for All, Program III (develop and support services and programs that ensure access to library information and resources in geographically challenged areas).

ELEMENT 3: PLANNING AND EVALUATION

Please answer each area concisely and completely. Limit to two pages and use 12 point font.

A. Project Purpose – Short statement which answers the questions: we do what, for whom, for what expected benefit.

This project will expand testing of the Zip Books model to a wider range of California rural and small libraries, in order to gather more data about the model's effectiveness and to establish best practices. In this phase of the project, the number of participating libraries will be nearly double the number that began the project in 2013/14. We expect to see that, using the Zip Books model, these libraries will see a significant reduction in ILL costs, and experience improved efficiencies and customer satisfaction.

B. Project Activities/Methods – How will the project be carried out? Include major activities from the timeline.

30 libraries will participate in the project.

Pre-grant: Each library will have already established an Amazon Prime account and service procedures, and have their Zip Books service well underway.

Each library will receive an initial purchasing allotment of \$5000-\$10,000 based on purchasing patterns and capacity demonstrated during Zip Books year 1.

Additional promotional materials will be developed (posters, etc.)

Each library will collect a specified set of statistics and report them on a quarterly basis.

Califa and the California State Library will continue to offer technical assistance to participating libraries, monitor purchases, evaluate usage and set/amend procedures when necessary, and collect and analyze quarterly statistical data.

An in-person meeting for project participants and stakeholders will be held in Spring 2015, to gather input for project planning and gather data on the participating libraries' experiences

We will research and report on the best way to implement a future statewide service beyond the grant period.

C. Anticipated Project Outputs – Measures of service or products provided.

30 libraries will participate.

Participating libraries will realize at least a 50% savings for ILL service.

Average ILL turnaround time will be reduced by at least 50%.

At least 30,000 items will be purchased.

At least 20,000 items will be added to local library collections.

At least 12,000 patrons will be served under this project.

D. Anticipated Project Outcome(s) – What change is expected in the target audience's skills, knowledge, behavior, attitude, and/or status/life condition? How will you measure these outcomes?

At least 40% of participating libraries will convert part of their ILL services to the Zip Books or similar model, based on their experience with this project.

At least 40% of participating libraries will begin to look at interlibrary loan in a different light, and consider and implement alternatives in order to acquire materials on demand for their customers.

E. Complete the following sentence. This project will be successful if:

at least 40% of participating libraries recognize the benefits of the Zip Books model and incorporate it into their interlibrary loan practices; if at least 40% of participating libraries change their thinking about interlibrary loan and begin to consider and implement alternatives; and if the Zip Books model provides a cost-effective option for libraries to fulfill requests for items outside of their collections.

ELEMENT 4: GRANT TIMELINE/ACTIVITIES

Show each major project activity and when it will be started and/or completed throughout the project. The timeline should correspond to the activities described in Planning and Evaluation. Please put an X in each pertaining month.

Activity	2014/15											
	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
30 libraries receive a purchasing allotment and continue Zip Books service	X	X	X	X	X	X	X	X	X	X	X	X
Califa and State Library continue technical assistance to participants	X	X	X	X	X	X	X	X	X	X	X	X
Califa/State Library monitor purchases	X	X	X	X	X	X	X	X	X	X	X	X
Califa/State Library continue to evaluate usage and procedures	X	X	X	X	X	X	X	X	X	X	X	X
Libraries submit quarterly statistics			X			X			X			X
Develop, produce and distribute promotional materials	X						X					
Plan and hold participant/stakeholder meeting									X	X	X	
Research and report on implementation of future Zip Books service							X	X	X	X	X	X
Evaluation/final report											X	X

ELEMENT 5: BUDGET

The budget should clearly identify the amounts requested and from what sources.

Column A Budget Category	Column B LSTA	Column C Cash Match	Column D In-Kind	Column E Total (B+C+D = E)
Salaries & Benefits				
Staff time/benefits (participating libraries)	\$0	\$0	\$149,000	\$149,000
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$0	\$0	\$149,000	\$149,000

Explanation:

Staff time/benefits: Library staff, based on estimated hourly compensation (salary + benefits) of \$23/hour, total commitment of 5800 hours. Library directors, based on estimated average hourly compensation (salary + benefits) of \$52/hour., total commitment of 300 hours. Average hourly compensation based on wages data for 30 targeted libraries, from most recent statistical data available. Total figure is rounded to the nearest thousand.

Library Materials				
Printed books for 30 libraries	\$247,000	\$0	\$0	\$247,000
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$247,000	\$0	\$0	\$247,000

Explanation:

These are the funds with which participating libraries will purchase "Zip Books."

Equipment (Items over \$5,000 per unit)				
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$0	\$0	\$0	\$0

Explanation:

Operating Expenses

Column A Budget Category	Column B LSTA	Column C Cash Match	Column D In-Kind	Column E Total (B+C+D = E)
Contracted Services				
Marketing materials design/printing	\$5,000	\$0	\$0	\$5,000
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$5,000	\$0	\$0	\$5,000

Explanation:

Califa will produce bookmarks, postcards, posters, book plates, spine labels and other marketing materials for the participating libraries. Branding is important for project outreach and the materials also assist with Zip Books processing and returns, as well as statistics keeping.

Supplies				
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$0	\$0	\$0	\$0

Explanation:

Other Charges				
Travel/accommodations	\$18,000	\$0	\$0	\$18,000
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
	\$0	\$0	\$0	\$0
Subtotal	\$18,000	\$0	\$0	\$18,000

Explanation:

This includes travel, accommodations, and meeting expenses for a Spring 2015 Zip Books participant meeting (36 participants at an average of \$500 per participant)..

Operating Expenses Subtotal	\$23,000	\$0	\$0	\$23,000
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Project Total (Salaries & Benefits, Materials, Equipment, and Operating Expenses)	\$270,000	\$0	\$149,000	\$419,000
Indirect Cost (up to 10%)	\$27,000	\$0	\$0	\$27,000
Grant Totals	\$297,000	\$0	\$149,000	\$446,000

FUTURE FUNDING

Briefly describe how this project will be financially supported in the future.

If successful, this model could be an option for us of CLSA Communication and Delivery funds. Through this project, rural libraries will learn the benefits of the model and restructure their materials and ILL budgets to cover these services in the future.

ELEMENT 6: ATTACHMENTS

If you have additional resources that support your grant, please attach after this page

ELEMENT 7: INTERNET CERTIFICATION FOR APPLICANT PUBLIC LIBRARIES FY 2014/15

Check the Appropriate Library Type

Public Library Academic K-12 Multi-type Special/Other

As duly authorized representative of the applicant library, I hereby certify that: (*check only one of the following boxes*)

- A. The applicant library has complied with the requirements of Section 9134(f)(1) of the Library Services and Technology Act.
- B. The requirements of Section 9134 (f)(1) of the Library Services and Technology Act do not apply to the applicant library because no funds made available under the LSTA program will be used to purchase computers used to access the Internet or to pay for direct cost associated with accessing the Internet for a public library or public elementary school or secondary school library that does not receive discounted E-Rate services under the Communications Act of 1934, as amended.

Signature of Authorizing Official

Date

ELEMENT 8: ASSURANCES

The applicant assures and certifies that it will comply with the regulations, policies, guidelines and requirements, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the Applicant assumes and certifies:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-sided activity.
4. It will comply with Section 504 of the Rehabilitation Act of 1973, as amended, 20 U.S.C. 794, which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance.
5. It will comply with Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq., which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance.
6. It will comply with the Age Discrimination Act of 1975, as amended, 42 U.S.C 6101 et seq., which prohibits discrimination on the basis of age in programs or activities receiving Federal financial assistance.
7. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
8. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
9. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
10. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
11. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
12. It will comply with all requirements by the Federal-sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
13. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of violating facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
14. It will comply with the flood insurance purchase requirements of Section 102(a) requires, on or after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
15. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

ELEMENT 9: CERTIFICATIONS REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTER; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82 “New Restrictions on Lobbying,” and 34 CFR Part 85, “Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants).” The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Institute of Museum and Library Services determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code and implemented at 34 CFR Part 82 for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, and officer of employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into or any cooperative agreement and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL “Disclosure Form to Report Lobbying,” in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110–

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, of local) with commission of any of the offenses enumerated in paragraph

(2)(b) of this certification; and

- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, of local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610–

A. The applicant certifies that it will or will continue to provide a drug-free workplace by;

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about-
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, OLS/State Programs Division, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Room 802, Washington, DC 20506. Notice shall include the identification number(s) of each affected grant

- (f) Taking one of the following action, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted-
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement or other appropriate agency.
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation or paragraphs (a),(b),(c),(d),(e), and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance or work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction to: Director, OLS/State Programs Division, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Room 802, Washington, DC 20506. Notice shall include the identification number(s) of each affected grant.

4. FEDERAL DEBT STATUS

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any Federal debt.

ELEMENT 9: CERTIFICATION

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

<u>Califa Group</u> Library/Organization	<u>Zip Books for Rural Libraries -- Year 2</u> Project Name	
<u>Linda Crowe</u> Printed Name of Authorized Representative	<u>Executive Director</u> Title	
<u>Mailing Address (if different than page 1)</u>	<u>City</u>	<u>Zip</u>
<u>Signature of Authorized Representative</u>	<u>Date</u>	