

LSTA NC ECHO DIGITIZATION GRANT
North Carolina ECHO, *Exploring Cultural Heritage Online*
2011-2012

Program-Specific Information & Guidelines

1. What is this grant program and its purpose?

The NC ECHO Digitization Grant program supports libraries in **the creation of online resources that focus on topics important to the cultural heritage of North Carolina and that improve access to the state's special collections.**

- Digitization Grant projects may involve a single library, or they may be collaborative projects led by a lead library with additional library or non-library partners.
- Grants may be single-year or multi-year (up to three years) in length. Complete guidelines for multi-year grants are available at <http://statelibrary.ncdcr.gov/lsta/multiyear1112.pdf>.
- Grant projects must follow the *NC ECHO Guidelines for Digitization* found at <http://www.ncecho.org/dig/digguidelines.shtml>.
- Applying for these grants involves a two-step process: 1) eligible libraries must submit a Letter of Intent, and 2) only libraries whose Letter of Intent is approved may submit a full application. See details in #3 of *General Information & Provisions* for 2011-2012 LSTA grants at <http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf>.

The State Library also supports the North Carolina Digital Heritage Center (<http://www.digitalnc.org>), a statewide digitization and digital publishing program housed in the North Carolina Collection at the University of North Carolina at Chapel Hill. The Digital Heritage Center works with cultural heritage institutions across North Carolina to digitize and publish historic materials online. Through its free or low-cost digitization and online hosting services, the Digital Heritage Center provides libraries, archives, museums, historic sites, and other cultural heritage institutions with the opportunity to publicize and share their rare and unique collections online. Prospective applicants should consider whether the Digital Heritage Center can help them achieve their project goals. Some applicants may find that working cooperatively with the Center is more efficient than applying for and managing a Digitization Grant project. For further information, please contact Nicholas Graham at ngraham@unc.edu or 919-962-4836.

The Digitization Grant program and the North Carolina Digital Heritage Center are both components of North Carolina ECHO ("*Exploring Cultural Heritage Online*"), an LSTA-funded statewide project of the State Library of North Carolina. Both are supported by Library Services and Technology Act funds awarded to the State Library of North Carolina by the federal Institute of Museum and Library Services. These grants support the implementation of several facets of North Carolina's *Library Services & Technology Act Five-Year Plan 2008-2012* (available at <http://statelibrary.ncdcr.gov/lsta/plan2008-12.pdf>), but principally Goal 2:

Goal 2 – Enhance information for lifelong learning for all North Carolinians by expanding the information resources in our state's libraries through strengthening, sharing, digitizing and preserving our valuable and unique collections.

2. Who may apply?

The following libraries are eligible to submit a Letter of Intent:

- public libraries that qualify for grants from the Aid to Public Libraries Fund;
- community college libraries;

- libraries serving the constituent institutions of the University of North Carolina (which includes libraries serving the Area Health Education Centers);
- libraries serving the member institutions of North Carolina Independent Colleges and Universities;
- qualifying state agency libraries;
- qualifying special libraries; and
- the State Library of North Carolina.

For definitions of qualifying state agency libraries and special libraries, refer to **Appendix B**.

Only libraries may apply directly for these grants. Non-library cultural heritage entities (e.g., archives, museums, historical societies, etc.) cannot apply directly but must collaborate with an applicant library in order to receive support from these grant funds.

Collaborative projects are encouraged, though not required. A collaborative project must be led by a library that will manage the entire project, including making the initial application, acting as fiscal agent, serving as primary contact for the project, maintaining records and paperwork generated by the grant, assuring the successful implementation of the project, and taking responsibility for completion of final reports.

Only libraries that submit a Letter of Intent by November 2, 2010, and receive authorization to submit a full application are eligible to apply for an LSTA NC ECHO Digitization Grant.

An eligible library may submit only one application for an LSTA NC ECHO Digitization Grant in this grant round. A “library” is an eligible public library system or an administratively separate library in an academic institution. [*A public library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro). Administratively separate libraries in an academic institution are those libraries with separate administrative and reporting structures within the institution (e.g., the University Library and the Law Library at UNC-Chapel Hill).*].

3. What preparation is necessary?

Prior to applying for a Digitization Grant, prospective applicants shall have:

- Identified the topic and collections that will form the basis of the project;
- Documented the importance of the topic and collections to the cultural history of North Carolina;
- Determined whether the North Carolina Digital Heritage Center (<http://www.digitalnc.org>) is an appropriate partner for the project;
- Determined whether the project should be single-year or multi-year;
- Identified, solicited the involvement of, and obtained letters of commitment from partner institutions, if any, whose collaboration and collections will improve the project;
- Ensured that all collection materials are appropriately preserved, described, and ready to be digitized;
- Ensured that all necessary rights and permissions for use of the materials have been obtained.
- Determined whether the project will include appropriate activities to support the state’s educational curricula. Curriculum support is encouraged but not required. **Appendix A** provides guidance for applicants preparing to include curriculum support activities.

LSTA Planning Grants are available to assist any library that has not completed the project planning necessary for a successful project implementation. Applicants proposing multi-partner, collaborative projects should give special consideration to seeking a Planning Grant before applying for a Digitization Grant. For details about Planning Grants, see Section #2 of *General Information & Provisions for 2011-2012 grants* at <http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf> .

4. How may project funds be used?

Digitization Grant project activities will focus on:

- digital imaging of primary materials (manuscripts, artifacts, artwork, photographs, rare books, broadsides, pamphlets, etc.) and presentation of the images and contextual information over the Internet, *and/or*
- the conversion of existing finding aids for archival or manuscript collections and presentation of encoded finding aids online. Conversion must include encoding using EAD (Encoded Archival Description) and/or other metadata schema as appropriate.

Eligible expenses:

- **Equipment**, including scanners, computers, and computer peripherals (i.e. printers, DVD-RW drives, external drives, etc.) as well as sufficient memory and storage.
- **Computer furniture**
- **Contractual services**
- **Software and/or software-based services.** Neither software licenses nor services can be purchased using grant or matching funds for a term that extends beyond the project's funding period.
- **Supplies**
- **Travel and subsistence** (e.g. meetings of representatives of collaborating institutions)
- **Cost of project personnel training**
- **Personnel**
Allowable with grant funds: Wages and benefits for temporary staff to be employed for the project. Temporary staff means part-time or full-time personnel hired specifically to help carry out the project, or additional hours for existing part-time staff. The budget narrative should explain the basis for determining the salary and benefits, with benefits shown separately from the salary. Fees and expenses for consultants should be included under Contractual Services.
Allowable as a local match: Up to 25% of the required local match can be met with staff salary and benefits for existing staff who will work with the project. Applicants must indicate the role of staff member(s) with regard to the project and provide hourly pay rate and benefits calculations information as well as the number of hours they will work on the project.
- **Outsourcing**
Grant funds may be used to support outsourcing of digitization and encoding processes to a third-party vendor. An application proposing to outsource work must provide the rationale for doing so and show that this approach is appropriate and cost effective. Applicants must also demonstrate that the proposed vendor's products and procedures are consistent with the best practices and standards found in NC ECHO's "Guidelines for Digitization" document (available at <http://www.ncecho.org/dig/digguidelines.shtml>). Institutions should test the vendor's services with a small sample of materials prior to preparing an application. The application should describe the testing process and report the results.

Use of LSTA funds for certain allowable purchases may require public libraries to comply with the federal Children's Internet Protection Act (CIPA). Additional information on CIPA, with guidelines and required forms, is available at <http://statelibrary.ncdcr.gov/lsta/cipa.htm>.

Ineligible expenses:

- Collection development activities, including the identification or acquisition of new materials
- Preservation activities or materials (preservation enclosures, reformatting or transferring of media without establishing public online access, etc.)
- Costs of conventional arrangement, description, or cataloging of original material
- Retrospective conversion of catalog records
- Ongoing operating costs
- Wages and benefit supplements/reimbursements for **existing full-time** employees

- Entertainment or social events
- Costs of promotional items and memorabilia including models, gifts, and souvenirs
- Administrative “overhead” or indirect costs

5. What amount of funds may be requested?

The maximum grant request is \$75,000 for a single applicant or \$150,000 for a collaborative project. The minimum grant request is \$2,500. Any amount over \$75,000 (or \$150,000 for a collaborative project) that is required to accomplish the project is the responsibility of the applicant.

Applicants for multi-year grants are eligible to apply for up to the maximum amount of funds allowed annually for this grant program.

6. Are local matching funds required?

Yes, at least 10% in matching funds is required. The local matching funds must be clearly documented in the application and meet the following guidelines.

- LSTA funding requires a local contribution to the project that must equal a minimum of 10% of the amount of federal LSTA funds requested. The match is a 1 to 10 ratio of matching funds to grant funds. Example: If the grant amount requested is \$20,000, the local match must be at least \$2,000, and the total project cost is therefore at least \$22,000 (\$20,000 grant funds + \$2,000 local funds).
- The local contribution may be a combination of cash and library staff salary and benefits.
- All of the cash match must be from local or state funds or funds from non-governmental agencies (e.g. foundations, service groups, partner organizations). **Other federal funds and local administrative overhead costs may not be used as match.**
- Cash matching funds must be spent for the same categories of allowable expenses as the grant funds [See #4 above: “How may project funds be used?”].
- Salary and benefits for existing staff who will work with the project may be used for up to 25% of the required local match. Applicants must indicate the role of staff member(s) with regard to the project and must provide hourly pay rate and benefits calculations information as well as the number of hours the staff will work on the project.
- Matching funds must be from source(s) clearly explained in the grant application.
- Matching funds must be available at the time a funded library signs the grant agreement.
- Matching funds must be available and spent during the same time period as the grant funds: 2011-2012 grant **and match** funds are to be spent in the 2011-2012 fiscal year (July 1- June 30).

The State Library recognizes that a local commitment for future matching funds may not be possible; the intention to provide matching funds in years two and/or three will suffice in the first year of the application.

No expenditures of either grant or local matching funds may be made until both library representatives and the State Librarian sign the grant agreement.

7. What is the basis for selecting projects for funding?

Eligibility for consideration for funding:

To be eligible for consideration, a library must:

- submit a Letter of Intent and be authorized to submit a full application, and
- submit a full application that is received by the deadline of 5:00 p.m. February 17, 2011.

Criteria for evaluating eligible applications:

For eligible applications, reviewers will use these criteria to make funding decisions.

I. Content

Topic: Applicants must focus on topics important to the cultural heritage of North Carolina and must improve access to the state's special collections. Projects with subject matter of broad significance and interest are strongly preferred. Applicants must describe the proposed topic and explain why it was selected and why it is important to the cultural heritage of North Carolina. Applicants must also tell how they determined the need for the proposed online resource and how they ascertained that the project does not duplicate another resource.

Primary Materials/Collections: The application must provide a clear summary description of the collections and materials to be included in the project and why they are relevant to the chosen topic. Sample finding media must be included in the application to demonstrate that the material included in the project has been properly described.

End Product:

- The application must describe how the digital content will be presented to the public.
- The size and scope of the project's end result (number of digital images to be created, amount of related cataloging, and nature and extent of the contextual material to be provided) must be clearly described.
- The products of the project must be clearly described, for example, digital images, online finding aids, related lesson plans, etc.
- Applications that include support for the state's educational curricula must demonstrate that these activities or materials adhere to the recommendations in Chapter 8 of the *NC ECHO Guidelines for Digitization* (<http://www.ncecho.org/dig/digguidelines.shtml>) and *Appendix A* of these NC ECHO Digitization Grant guidelines.

II. Appropriate preparation and planning

Applications *must* demonstrate that an effective preparation and planning process has been carried out *prior to* submitting the application. The planning must result in a clear vision of the final product(s) to be produced.

- All materials to be digitized must already be properly preserved in the manner appropriate for the medium or format.
- All materials to be digitized must be processed (arranged and described) and have adequate access points (finding aids, indices, catalog records, and/or inventories) already in place.
- Project plans must clearly demonstrate that participating institutions will follow the *NC ECHO Guidelines for Digitization* in implementation.
- Applicants proposing collaborative partnerships must demonstrate how all partners were involved in the planning process and how each partner will participate in the project.
- Applicants must document that they and their partners have all rights required under current law, as well as donor permissions where necessary, to create and make available to the public digital copies of materials proposed in their grant application. The State Library reserves the right to request any relevant documentation that supports the applicants' certifications. For more information on these issues, review Chapter 3 of the *NC ECHO Guidelines for Digitization* at http://www.ncecho.org/dig/guide_3legal.shtml.

III. Overall quality and clarity of project plan and budget

Proposals must:

- Include an action plan with a narrative and a timeline indicating all significant project activities with major milestones and deadlines and the institution(s) and/or staff member(s) responsible for each. This should include planning meetings, project development, testing, evaluation and outreach, and any other significant activities.
- Describe an appropriate plan to make potential audiences aware of the online resources.
- Include a process or processes by which the institution(s) will be able to make an adequate evaluation of the project and determine its effectiveness and usefulness.

Project budgets are expected to:

- Be reasonable and appropriate to the plan outlined in the proposal and clearly linked to that plan;
- Explain the basis for all projected expenditures and the basis for the estimates with no unexplained, miscellaneous, or contingency amounts;
- Show detail of wages and benefits separately;
- Include information (e.g., experience and qualifications) about any proposed consultants and other contractual services;
- Relate any travel expenses to the project plan;
- Exclude all disallowed expenditures;
- Meet local match requirements.

IV. Applicant's ability to implement and sustain the project

The applicant library must have:

- Existing staff expertise in special collections, including general management and conventional methods of preservation and access;
- Existing staff expertise in digitization, metadata, web design, and web presentation;
- Significant cultural heritage collections that will form the basis of the proposed project;
- Adequate information technology infrastructure and institutional support to host and deliver the digital product;
- Adequate and appropriate means for long-term storage and back-up of master images; and
- The administrative capacity necessary to manage the project.

An applicant library proposing to be the lead institution in a collaborative project must also have:

- The experience necessary to take a leadership role in developing and sustaining a complex, multifaceted effort with partners outside the institution;
- The commitment of the parent institution and the library administration to support the lead library's leadership role; and
- The willingness to assume this leadership role in the proposed project.

V. Effective collaborative partnerships

In proposals involving collaboration, applicants should demonstrate the appropriateness of the proposed partnership(s) by:

- establishing a clear focus and shared mission for the proposed project;
- stating clearly and precisely why each partner was chosen and what each partner will contribute to the project;
- describing prior experience and commitment in working with the proposed partner(s);
- providing strong evidence of a shared understanding of how the project's processes will be managed;
- establishing that each partner organization is fully supportive and is playing an active role in the project;
- drawing clearly upon individual institutions' strengths, such as collections, experience, and/or technical capabilities; and
- demonstrating that the partnerships and/or programs developed as part of the project are sustainable over time.

The application must include **letters of commitment** from each partner. In addition to providing relevant information regarding all the criteria in this section, the letters must state the clear ownership of any equipment purchased during the project and any digital creations resulting from the project, as well as the willingness of the institutions to assume the responsibilities detailed in the application—both during the project and for the long term sustainability of the digital creation(s).

Relationships between the partnering institutions are the responsibility of the partners. The lead/applicant library is responsible for establishing and enforcing any agreements or contracts with partnering institutions, including matching funds commitments.

VI. Local matching commitment

The library must contribute the required local matching funds, which must be available by the time the library signs the grant agreement. The source of matching funds must be documented in the application. In collaborative projects the lead library is responsible for ensuring that the matching requirement is met. Enforcement of any agreements or contracts with partners or outside agencies regarding matching funds is the responsibility of the lead library.

8. What else do applicants need to know?

General Information & Provisions for LSTA Grants

Applicants must be familiar with the information and requirements for 2011-2012 LSTA grants provided in the *General Information & Provisions* document at <http://statelibrary.ncdcr.gov/lsta/GenInfoProvs11-12.pdf> . There you will find essential information such as: additional factors that may be taken into account in the review of all grant proposals and selection of applications for funding; timelines; submission instructions; grant payment procedures; and legal requirements.

Procurement

Grant Provisions for this program (included in the document cited immediately above) include the federal regulation requiring grantees to conduct all procurement transactions in a manner providing full and open competition consistent with the standards of 45 CFR 1183.36. Local and state provisions may be more stringent. State requirements are available upon request.

9. For further information:

Contact Raye Oldham, Library Development Consultant, at: raye.oldham@ncdcr.gov or 919-807-7423.

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APPENDIX A

CURRICULUM SUPPORT INFORMATION

Applicants are encouraged to use the many resources provided by LEARN NC (<http://www.learnnc.org>), a program of the UNC-Chapel Hill School of Education, to enhance the curriculum support activities in their proposed projects. LEARN NC staff work in conjunction with NC ECHO to provide support to applicants on K-12 education outreach, classroom instructional tools, and professional development for teachers.

LEARN NC can assist applicants with selecting and prioritizing materials for digitization in support of *The North Carolina Standard Course of Study*, focusing on what teachers and students will be most likely to use, how materials may fit into classroom instruction, and how the digitized collections may help teachers to present the skills required in the curriculum. Initial consultations with LEARN NC are provided free of charge. For a specific consultation regarding your proposed project contact Leslie Richardson (lrichardson@learnnc.org). Please put "NC ECHO Consultation" in the subject line of your message.

Teacher Resources:

The addition of teacher resources related to a Web site's content can promote the most effective use of information provided. Teacher materials could include suggested activities, lesson plans, and examples of student projects.

Incorporating Lesson Plans:

- Delineate a strategy for developing and ensuring high quality lesson plans aligned to the *North Carolina Standard Course of Study*, for example:
 - Contract with LEARN NC to develop lesson plans
 - Partner with educators at a local college of education to develop and/or evaluate lesson plans
 - Offer workshops for local educators to create lesson plans as part of a professional development opportunity
- Lesson plans should use a standardized format, such as the template available on the LEARN NC Web site at: <http://www.learnnc.org/lessons/> .
- If lesson plans already are available, explain how they will be re-evaluated for alignment with the *North Carolina Standard Course of Study* and adherence to a standard format.
- Provide specific goals for the number of lessons that will be created as well as a realistic timeline for their creation.

Multimedia:

Multimedia such as music, audio, video, VR, and graphic files are an important element of a Web site to engage students, thereby enhancing their learning. These files should be provided in several formats to meet the needs of various software applications.

Note: Additional information on these and other topics can be found in Chapter 8 of the *NC ECHO Guidelines for Digitization* at: http://www.ncecho.org/dig/guide_8k12.shtml.

Questions? Contact Raye Oldham, Library Development Consultant, at: raye.oldham@ncdcr.gov or 919-807-7423.

APPENDIX B

DEFINITIONS OF QUALIFYING LIBRARIES

These definitions are from North Carolina's *Library Services and Technology Act Five-Year Plan 2008-2012* (<http://statelibrary.ncdcr.gov/lsta/plan2008-12.pdf>).

State Agency Libraries: Libraries that are part of a state government agency, including libraries that serve staff and residents of rehabilitative and correctional institutions.

Special Libraries: Libraries operated by professional, scientific, or trade associations, governments, hospitals, or other organizations, agencies, or institutions primarily to serve their own specialized clientele. To qualify a special library must be willing to share resources either through public access on site or through interlibrary loan within the state.

A library meeting one of the above definitions must first meet these broad policy guidelines for eligibility to apply for LSTA funds.

- Every library or organization defined as eligible to apply for LSTA funds must be either publicly funded (receive at least 51% of its operating funds from tax dollars) or not-for-profit (recognized as tax-exempt by the Internal Revenue Service).
- An eligible school library must be headed by a full-time certified school media coordinator. Other eligible libraries must be headed by a trained library professional with a masters degree in library and information science from a graduate library education program accredited by the American Library Association or by a regional accrediting organization.
- Every eligible library must have a cataloged collection of information resources, designated space, a materials budget, and be open a minimum of 20 hours per week.
- For collaborative projects one partner must be designated as the "lead" library to accept and administer the grant. The lead library in a collaborative project must meet all eligibility requirements.

Questions? Contact Raye Oldham, Library Development Consultant, at: raye.oldham@ncdcr.gov or 919-807-7423.