

State Library of North Carolina - Library Services and Technology Act

ACCESS & DIGITIZATION PROJECT GRANT PROGRAM-SPECIFIC INFORMATION & GUIDELINES 2013-2014

GRANT PURPOSE

The purpose of this grant program is to support libraries in their efforts to **increase access to, and use of, North Carolina's library holdings and special collections.**

Access activities should focus on:

- implementation of RFID (radio frequency identification technology);
- a new ILS (integrated library system) online catalog; or
- other activities that support the Grant Purpose.

Digitization activities should focus on:

- digital imaging of primary materials (manuscripts, artifacts, artwork, photographs, rare books, broadsides, pamphlets, etc.) and presentation of the images and contextual information via 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.

The State Library also supports the North Carolina Digital Heritage Center, 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. <<http://www.digitalnc.org>>

Collaborative projects and partnerships are encouraged, though not required. A project partner is a library or non-library entity that will contribute specific deliverables or resources such as staff, funding, meeting space, etc., to the project. If there are agencies and organizations that might be considered as obvious partners for the proposed project but that are not included in project development or implementation, the exclusion of such an organization should be explained.

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 may apply for these grants. Non-library cultural heritage entities (e.g. archives, museums, history departments, historical societies, etc.) cannot apply directly but may collaborate with an applicant library.

Project Grants may be single year or multi-year (up to three years) in length, must cost \$50,000 or more, and require a Letter of Intent. Complete guidelines for multi-year grants are available at <http://statelibrary.ncdcr.gov/ld/grants/lsta/13_14/Multiyear13-14.pdf>.

This grant program supports Goal #4 of North Carolina's *Library Services & Technology Act Five-Year Plan 2013-2017*: "North Carolina libraries will expand access to information resources by strengthening, sharing, digitizing and preserving our valuable and unique collections."
<<http://statelibrary.ncdcr.gov/ld/grants/lsta/plan2013-17.pdf>>

PREPARATION

Applicants must be familiar with the information and requirements in the *General Information & Provisions* document. <http://statelibrary.ncdcr.gov/ld/grants/lsta/13_14/GenInfoProvs13-14.pdf>

Applications must be user-focused and clearly justified. Grant proposals should reflect that applicants have:

- Assessed the community to be served and considered the local organizations already serving that community;
- Established relationships with partners (if any) in the proposed project;
- Involved both the targeted audience and partners (if any) in project planning, decision-making and proposed implementation;
- Determined whether the project should be single-year or multi-year (up to three years in length).
- Compiled quantitative (numerical/statistical) and qualitative data to support the need for the proposed project;
- Demonstrated that the proposed activities support the needs of the specific audience;
- Determined that the proposed project is consistent with the library's long-range plans, strategic priorities, and local or institutional policies;
- Determined that the proposed project is consistent with the partner's long-range plans, strategic priorities, and local or institutional policies; and
- Obtained the support and commitment of the applicant's governing and/or funding bodies regarding sustainability of services once the grant is completed.

Digitization Project applicants should have:

- Identified the topic and collections that will form the basis of the digitization project;
- Documented the importance of the topic and collections to the cultural history of North Carolina;
- Identified, solicited the involvement of, and obtained letters of commitment from partner institutions;
- 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; and
- Identified methods for long-term sustainability of the project - both preservation of and access to the content that is reformatted, as well as any accompanying metadata.

Digitization projects must follow the NC ECHO Guidelines for Digitization found at <<http://www.ncecho.org/dig/digguidelines.shtml>>.

EZ Planning Grants are available to assist libraries with needs assessment and project planning in preparation for a Project Grant application. Applicants receiving a Planning Grant are not guaranteed funding for a subsequent Project Grant. For more information about Planning Grants see the EZ Planning Grant Guidelines. <<http://statelibrary.ncdcr.gov/ld/grants/lsta/2013-14Grants.html>>

APPLICATION PROCESS

To be considered for funding, Project Grants require a two-step process.

1. A Letter of Intent must be received at the State Library by 5:00 p.m. on **November 1, 2012**.
2. If the Letter of Intent is approved, a complete application must be received at the State Library by 5:00 p.m. on **February 28, 2013**. For more information see the *General Information & Provisions* document at <http://statelibrary.ncdcr.gov/ld/grants/13_14/GenInfoProvs13-14.pdf>.

GRANT FUNDS

Library Services and Technology Act (LSTA) grants are supported by funds awarded to the State Library of North Carolina by the federal Institute of Museum and Library Services (IMLS).

The minimum Project Grant amount that may be requested is \$50,000; the maximum is up to \$100,000. Any costs above the maximum award are the responsibility of the local library.

MATCHING FUNDS

Matching funds of 10% are required and must be clearly documented in the application; up to 25% of these matching funds may consist of cost share.

- Matching funds consist of cash expenditures paid by the library.
- Cost share and in-kind contributions may consist of salary and benefits for existing staff who will work with the project.
- The source(s) of matching funds must be clearly identified in the grant application.
- The match may come from a combination of local or state funds or funds from non-governmental agencies (e.g. foundations, service clubs). Federal funds and local administrative overhead costs may **not** be used as match.
- Matching funds must be spent for allowable expenditures.
- Matching funds must be available at the time a funded library signs the grant agreement.
- Matching funds must be spent during the same allowable expenditure period as the grant funds.

The local match must equal a minimum of 10% of the grant amount requested. This match is a 1 to 10 ratio of matching funds to grant funds. For example, if the grant amount requested is \$60,000, the local match must be at least \$6,000; thus the total project cost will be at least \$66,000 (\$60,000 + \$6,000 = \$66,000).

COST SHARE

- Cost share may be used for up to 25% of the required match.
- Cost share must be documented on the required State Library Reimbursement Form to be credited toward the match.
- Applicants must indicate the role of staff member(s) with regard to the project, must provide hourly pay rate x number of hours the staff will work on the project, and benefits calculations separately (not as a lump sum).
- Using a Project Grant figure of \$66,000, for which \$6,000 is the required match, a maximum of \$1,500 of the match may be cost share or in-kind contribution ($\$6,000 \times 25\% = \$1,500$) if the full award is claimed.

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

Multi-year Projects

- Applicants must address plans for long-term sustainability of the service or program.
- In an effort to move the project toward sustainability, the local contribution must increase each year. The second year match is 33% of the LSTA funds (a ratio of 1 to 3), and the third year is 50% of LSTA funds (a ratio of 1 to 2).
- The State Library recognizes that a commitment for future years' 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.

ALLOWABLE EXPENDITURES

- Salaries 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 (not as a lump sum).

- Contractual services. Applicants must show that proposed contractors are qualified to perform the needed work or service.
- 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.
- Equipment, technology, and/or software to support the project and its ongoing sustainability.
- Furniture that is crucial to the success of the project.
- Library materials that support the programs and services that are the project's main focus. The acquisition of library materials should not be the primary purpose of the project.
- Travel and/or training expenses related to the project.
- Supplies specific to the project.
- Postage and printing costs for project materials.
- Other expenses that are justifiable, allowable, and needed to implement the project.

Note: While **promotional activities** are an important aspect of many projects, there are federal restrictions limiting promotional and marketing costs. Applicants should confer with State Library staff for guidance on allowability of proposed expenditures for promotional efforts.

Grantees are required to conduct all procurement transactions in a manner providing full and open competition consistent with the federal standards of 45 CFR 1183.36. Local and state provisions may be more stringent. State requirements are available upon request.

UNALLOWABLE EXPENDITURES

- Services or software licenses that extend beyond the project's funding period (one-time purchases for technology to support the ongoing sustainability of project outcomes are allowed)
- Runs of newspapers in any format
- Collection development activities, including the identification or acquisition of new materials
- Costs of conventional arrangement, description, or cataloging of original material
- Preservation activities or materials (preservation enclosures, reformatting or transferring of media without establishing public online access, etc.)
- Retrospective conversion of catalog records
- Refreshments, entertainment, or social events
- Promotional items and memorabilia, including models, gifts, and souvenirs
- Salaries, wages, and/or benefits for existing full-time employees
- Ongoing expenditures (subscriptions, utilities, Internet access, or other services)
- Administrative "overhead" or indirect costs

SELECTION CRITERIA

The project must be user-centered, not library-centered. The project must focus on delivering library services and programs that are based on the needs of the target audience. Representatives of the target audience must be included in developing the project plan. For example, include members of the target audience on a planning committee; invite them to serve in an advisory capacity; conduct interviews or focus groups with them, etc.

The application must provide clear, complete information and rationale to support the applicant's request for funding. Funds must be used for necessary and allowable costs to achieve the project's goals. The applicant must clearly state how proposed expenditures were determined and why each is needed to achieve project objectives.

Digitization projects

Digitization projects must reflect the applicant's knowledge of Library digital reformatting, metadata, and preservation standards and best practices. The following criteria will be used to determine priority for funding of digitization applications.

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, both now and over the next 5+ years.
- 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.,
- A plan must be provided for the sustainable storage of the project products.
- 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>>.

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. Describe the standards and best practices used for digitization.
- 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.
- If there are agencies and organizations that might be considered as obvious partners for the proposed project but that are not included in project development or implementation, the exclusion of such an organization must be explained and justified.
- 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

Applications 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. The action plan 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 application 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, deliver, and adequately preserve (store, back-up, and provide long-term access to) the digital product; 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 provide long term access to the project's online content;
- 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

Applications involving collaboration 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, including enforcement of any agreements or contracts with partners or outside agencies regarding matching funds.

QUESTIONS?

Contact your liaison consultant or Raye Oldham, Federal Programs Consultant, State Library of North Carolina at 919-807-7423 or raye.oldham@ncdcr.gov.