

CATALOGING HIDDEN SPECIAL COLLECTIONS AND ARCHIVES
APPLICATION GUIDELINES
Last updated August 18, 2009

GENERAL INFORMATION

Please complete all sections of the application.

The application itself consists of two parts:

1. A description of the collection(s), which will be made public
2. Technical and financial information, which is confidential.

You will not be able to submit the application until you have provided and saved all the required information. When all the required elements have been completed and saved, a button allowing you to submit your application will appear at the top left (above the tabs).

To navigate through the application form, click on the tabs on the left-hand side.

You may partially complete your application, save your work, and return to complete and submit it at a later date by logging back in to the application site.

Please note that changes made on each screen must be saved using the "Save" button at the bottom of each page. *Any unsaved changes will be lost when you exit the screen OR click to upload a document.* Before uploading a document, be sure to save any text you've entered on the screen (if applicable).

Changes and revisions to your responses may be made throughout the application period at any time prior to your submission of the application.

You may revise responses, including those which have already been saved, by making changes and clicking the "Save" button. These changes will then overwrite your previous responses.

Once you have submitted your application, you may view it but can no longer alter it.

The information requested in the tabs marked with ** may be made available to the public at CLIR's discretion. By either applying for funding or submitting your collection information for our database, you agree that any information submitted under the Identification and the main Description of Content tabs may be made public

by CLIR. All other information (including the sub-tabs Contents, Characteristics, Rights and Access Policy under Description of Content) will be confidential and may not be released by CLIR or any other party without your express permission.

If you have questions regarding any part of this application, please refer to the Hidden Collections page on CLIR's website (www.clir.org/hiddencollections).

TAB 2: Eligibility Requirements

Is the Applicant a not-for-profit organization as defined by the U.S. Internal Revenue Codes Section 501(c)(3) or Section 115?

- “To be tax-exempt under section 501(c)(3) of the Internal Revenue Code, an organization must be organized and operated exclusively for exempt purposes set forth in section 501(c)(3), and none of its earnings may inure to any private shareholder or individual.” – From the IRS *Exemption Requirements* (<http://www.irs.gov/charities/charitable/article/0,,id=96099,00.html>).
- If your organization is not considered a not-for-profit organization under the IRS’s guidelines, you are not eligible to apply.

Is the collection owned and held in the U.S.?

- In this cycle we are only able to make awards for collections owned and held in the U.S. Collections owned by non-U.S. organizations, or collections physically located outside the U.S., may not be submitted for consideration.
- For the purposes of this award, the term “U.S.” includes not only the 50 states and the District of Columbia, but also entities associated with the U.S. which are defined as “dependent areas” according to the *CIA World Factbook*. For 2008 those areas are as follows:
 - American Samoa
 - Baker Island
 - Guam
 - Howland Island
 - Jarvis Island
 - Johnston Atoll
 - Kingman Reef
 - Midway Islands
 - Navassa Island
 - Northern Mariana Islands
 - Palmyra Atoll
 - Puerto Rico
 - Virgin Islands
 - Wake Island

Source: *CIA World Factbook* (<https://www.cia.gov/library/publications/the-world-factbook/index.html>).

Do you wish to apply for funding?

- If you wish to apply for an award, please select “Yes.” By submitting an application for funding, you agree to allow the information in Section I below to be made publicly available.
- If you wish to provide information about your collection or project for public inclusion in our database, but do not intend to apply for an award this year, please select “No.” If you do not intend to apply for funding but only wish to contribute information about your collection or project, you do not have to meet the eligibility requirements listed above.

SECTION I: PUBLIC INFORMATION

NOTICE: ONCE AN APPLICATION HAS BEEN SUBMITTED, ANSWERS TO THE FOLLOWING APPLICATION QUESTIONS MAY BE DISSEMINATED TO A WIDER AUDIENCE WITHOUT FURTHER AGREEMENT FROM, OR NOTICE TO, THE APPLICANT.

TAB 3: COLLECTION IDENTIFICATION

Collection/Project Title

- List the name of the collection or, if your project encompasses several collections, the project title.
- 150 character limit.

Approximate Size

- Provide the size of the collection in boxes, cubic feet, linear feet and/or the number of objects. You may provide measurements in two, three or all four units if you like; you must provide at least one. (Seven-digit limit each)
- If your project encompasses several collections, your figures should reflect the aggregate for each category. You will be given an opportunity to list individual collection titles, formats and sizes (and also related institutions, if applicable) as an appendix to your Project Plan in the *Technical Approach, Management, Staffing and Training* section.

Are the materials listed in ArchivesUSA? The University of Idaho's Repositories of Manuscript Sources? Another directory or registry?

- Collections do not have to be registered in a directory to be eligible for this grant. If the collection is not listed in a directory or registry, you may leave this section blank.
- If your collection is listed in a registry other than ArchivesUSA or the Repositories of Manuscript Sources, please provide the name of that registry. (150 character limit)
- If your project encompasses several collections, please select and/or list any directories or registries in which any of the collections are listed.
 - If you do not have room to list all the applicable directories, select those in which the bulk of the materials are represented.

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TAB 4: DESCRIPTION OF CONTENT

Provide a brief description of the materials (e.g., topic, period covered, geographic scope, relevance to individuals, etc.)

- For large, multi-institution submissions, please characterize the aggregate.
- Word limit: 1,500 characters, or about 250 words.

What period do the materials cover?

- Please list your best estimate of the date range covered by this collection, in whole years.
- For large, multi-institution submissions, please characterize the aggregate.

What is the geographic scope of the project?

- Please list your best estimate of the geographic range covered by this collection.
- For large, multi-institution submissions, please characterize the aggregate.
- 150 character limit.

What is the format?

- You must select at least one format from the following: text, image, audio, book, manuscript, other.
- You may select as many as are applicable.

Is there a preliminary finding aid or description of this collection/project?

- The existence of a preliminary finding aid or description is not a requirement for this award.
- For the purposes of this program, a preliminary finding aid is one which does not rise to the level of a traditional, readily accessible catalog format. CLIR will not fund retrospective conversions of paper catalogs which can already be accessed,

understood and used by scholars (even if they must be physically on-site at the institution to use it).

- If your collection/project does have a preliminary finding aid or description online, please provide a URL or other contact information as applicable. (150 character limit)
- If your project encompasses several collections, of which some have preliminary finding aids or descriptions and others do not, **and** there is no single URL for this project, select “Yes” and provide this information in the appendix to your Project Plan (found in the *Technical Approach, Management, Staffing and Training* section).

**SECTION II:
CONFIDENTIAL INFORMATION**

*ANSWERS TO THE REMAINING APPLICATION QUESTIONS AND SUBMISSIONS ARE CONFIDENTIAL.
THIS INFORMATION WILL NOT BE DISCLOSED TO THE PUBLIC.*

TAB 5: CHARACTERISTICS

Are the contents of the collection(s) in any way at risk or endangered? If Yes, please explain briefly the nature of the threat.

- Word limit: 1,500 characters, or about 250 words.

Does the holding institution have a conservation plan for these materials?

- A “No” answer will not render an application ineligible.
- If this is a multi-institution or consortium project, answer “Yes” if all participating institutions have conservation plans in place. Otherwise, answer “No.”

Are there physical or artifactual characteristics of the materials that would inhibit either the cataloging effort or future digitization? If Yes, please explain any constraints. Please note, no funds under this request may be directed toward conservation or stabilization activities.

- A “Yes” answer will not render an application ineligible.
- Word limit: 1,500 characters, or about 250 words.

TAB 6: Rights

Does the institution hold the rights to these materials, including the rights or permission to digitize the material at a future date? Please explain any limitation, embargoes, or other restrictions.

- A “No” answer will not automatically render an application ineligible.
- If this is a multi-institution or consortium project, answer “Yes” if *all* participating institutions have the rights listed above for all collections related to this project. Otherwise, answer “No” and provide an explanation in the provided space.
- Word limit: 1,500 characters, or about 250 words.

TAB 7: Access Policy

What is the access policy with respect to the use of these materials?

- Word limit: 1,500 characters, or about 250 words.

TAB 8: Value and Significance

Provide three reference letters, in PDF format.

- The reference letters should be from scholars who are able to speak compellingly to the collection's value, use and significance.
- Reference providers may not be directly connected to the project or to participant institutions.
- Multi-institution or consortia projects may also only submit three letters, regardless of the size of the project.
- Reference letters may be addressed "To whom it may concern."
- **Reference letters should be sent to the applicant**, and attached to an application in PDF format using the online form. **CLIR cannot accept reference letters in hard copy and is not able to attach them to an application.**

Provide one letter from an administrator at the applicant institution, in PDF format.

- This letter should indicate the institution's willingness to house and support the project locally, including sharing costs as indicated in the project budget.

Describe the value of the collection(s) to scholarship and the ways that scholarship would be enriched by greater access to these materials.

- Word limit: 3,000 characters, or about 500 words.

TAB 9: Related Collections

Identify other collections (if any), not held by the applicant institution(s), whose value would be enriched as a result of improved access to these materials.

- This information may be used to alert applicants to potential partnerships or areas for collaboration. Your information will not be shared with other institutions without your permission.
- Word limit: 1,500 characters, or about 250 words.

TAB 10: Innovation

Describe any innovative aspects of cataloging, archival descriptions, and dissemination.

- CLIR hopes that this program will bring to light innovative methods of cataloging, archival descriptions and dissemination. Any examples of methods mentioned by CLIR, whether in our FAQs or other venues, are intended to be just that: examples. CLIR encourages applicants to consider a variety of methods as they develop their proposals, and to make persuasive and cogent arguments for their method of choice. CLIR neither discourages nor encourages use of the methods mentioned in its examples.
- Word limit: 3,000 characters, or about 500 words.

TAB 11: Impact

Describe your approach to expanding the impact of your project through outreach and professional activities.

- Word limit: 3,000 characters, or about 500 words.

TAB 12: Initiatives

Describe any initiatives that might be triggered by availability of access to these materials.

- Word limit: 1,500 characters, or about 250 words.

TAB 13: Technical Approach, Management, Staffing and Training

Upload a PDF document (1,500 words or less) detailing your technical approach. Your approach must be web accessible, interoperable with other systems, and sustainable beyond the life of the project. Identify relevant technical and cataloging standards or adherence to current practice and explain any innovative features of your approach (for example, it expedites cataloging or allows for extensibility in future activities).

- This document must be uploaded in PDF format.
- Word limit for the detailed description: 1,500 words, or about 3 single-spaced pages.

Provide a short summary of your technical approach.

- Word limit: 1,500 characters, or about 250 words.

TAB 14: Project Plan

Provide a project plan, including staffing, milestones, and deliverables. The project plan should also address your approach to long-term sustainability.

- The project plan must be uploaded in PDF format.
- Single institutions: max. 1,000 words.
- Consortial applicants: your document must be in two clearly defined sections, as follows:
 - Project plan, as described above, max. 1,000 words.
 - Appendix, outlining participating institutions, collections to be cataloged, number of items and format. This appendix must follow the format outlined [here](http://www.clir.org/hiddencollections/HiddenCollectionsApplicationProjectPlanAppendix.pdf) (<http://www.clir.org/hiddencollections/HiddenCollectionsApplicationProjectPlanAppendix.pdf>).
- If this is a multi-institution or consortium project, you must append to this document a list outlining the participating institutions and identification information about the collections to be cataloged. This appendix **must** follow the format outlined here: <http://www.clir.org/hiddencollections/HiddenCollectionsApplicationProjectPlanAppendix.pdf>.

How many staff will be assigned to this project?

- a. Full time professional staff
 - b. Part-time professional staff
 - c. Volunteers
 - d. Students
- All numbers must be whole numbers.
 - Full time staff members who will not be 100% dedicated to the project should still be included in the “Full time” category; the percentage of time allocated to the project may be indicated on the budget form.
 - While volunteers may not be included in the budget, CLIR welcomes projects that include them along with paid staff.
 - Volunteer time is not a requirement.
 - Three-digit limit for each field.

Please provide approximate start and end dates for the project.

- Please provide the month and year for the project's proposed start and end dates.
- Do not use zeros when entering a month between 1-9. Years should be entered in four digits. E.g. January 2010 should be entered 1 / 2010.
- The start and end dates should reflect the dates for which you are seeking CLIR funding. Applicants may request terms as short as 12 months or as long as 36 months, or any period in between. In 2009, projects may begin as early as December 1, 2009 or as late as March 1, 2010. All 2009 projects must be completed no later than February 28, 2013.

TAB 15: Qualifications

Resumes for up to three key personnel on this project may be provided below.

Resumes must be PDF documents and may be no longer than 2 pages each.

- Although a project may have more than three assigned persons, no more than three résumés may be uploaded. Only include résumés for the primary personnel on the project.
- Large multi-institution or consortial projects are limited to three résumés of key personnel.
- Qualifications for those personnel for whom résumés are not provided may be described in the space provided below.

Please describe the qualifications of the Principal Investigator, project manager, supervisory personnel and/or technical specialists, including descriptions of any relevant experiences with special collections, large-scale cataloging projects, and/or work with students and volunteers.

- Word limit: 1,500 characters, or about 250 words.

TAB 16: Training

Will training be required?

- If “Yes,” please explain what training will be required and how your institution intends to provide it.
- Word limit: 1,500 characters, or about 250 words.

TAB 17: INSTITUTIONAL CAPACITY

Describe the institutional strengths that justify undertaking this project, including infrastructure, experience, access to local expertise (including volunteers or students), resources, professional leadership, etc.

- Word limit: 3,000 characters, or about 500 words.

Will funds from the grant be applied to infrastructure or other elements of technical support? If Yes, please explain the need and relevance to the proposed cataloging effort.

- Word limit: 1,500 characters, or about 250 words.

Does your institution agree to participate in a post-project evaluation?

- Participation in a post-project evaluation is not mandatory.

TAB 18: Prior Collaborations

Provide no more than three examples of prior collaborations that resulted in shared data or federated information programs.

- Evidence of such prior collaboration is not a requirement.
- If you have no prior collaborations, please enter “N/A” in the first box and save the screen.
- If you have more than three such collaborations, please select those you feel are most similar to this particular project.
- Word limit: 600 characters, or about 100 words, for each description.

TAB 19: Cataloging Backlog

Does the institution (or, in the case of multi-institution or consortium projects, institutions) have a cataloging backlog? If Yes, how large is the cataloging backlog? Is there a strategic plan to address the backlog?

- Word limit: 1,500 characters, or about 250 words.

TAB 20: Institutional Priorities

Describe institutional priorities for cataloging, including addressing the backlog, if applicable, and explain how this project addresses one or more of these priorities.

- Word limit: 1,500 characters, or about 250 words.

TAB 21: Funding

Please upload a detailed budget justifying costs.

- Your budget must be submitted on the budget spreadsheet provided by CLIR. This Excel spreadsheet may be found at <http://www.clir.org/hiddencollections/ApplicantBudgetForm.xls>.
- CLIR does not pay for indirect costs.
- If this is a multi-institution or consortium project, funds will be disbursed to the applicant institution. CLIR will not disburse funds for one award to several institutions. The submitted budget should aggregate the total funds requested.
- The budget submitted on this form should cover the entire proposed project period. CLIR does not require applicants to submit multi-year budget projections.

What is the size of the request?

- Requests may range in size from a total of \$75,000 to a total of \$500,000.
- If this is a multi-institution or consortium project, all amounts requested (or in the case of cost sharing, contributed) should be aggregated.
- Your answer should be in whole dollars. You may use commas or dollar signs in the field, but please do not enter decimals.

How large is the institutional cost share?

- A cost share is not required.
- Your answer should be in whole dollars. You may use commas or dollar signs in the field, but please do not enter decimals.

What is the total value of the project, including requested and matching funds?

- Your answer should be in whole dollars. You may use commas or dollar signs in the field, but please do not enter decimals.

Have other sources of funding been considered? Please explain prior efforts, if any, to identify other sources of funding for this project. If prior efforts have not been made, or have been unsuccessful, please explain why this collection is uniquely suited to this funding program.

- Evidence of attempts to secure other funding is not required; however, if other attempts have not been made, you must explain why this collection is uniquely suited to this funding program.

- Word limit: 1,500 characters, or about 250 words.

Do you agree to participate in periodic meetings with other applicants to be held up to twice a year?

- CLIR will reimburse participants or their institutions for all expenses related to travel to these meetings for up to two representatives from each funded project, provided such expenses are in accordance with CLIR's travel policy. A copy of this travel policy may be viewed at http://www.clir.org/hiddencollections/CLIR_TravelPolicy.pdf.
- These meetings are separate from the proposed project, and support for this travel should not be requested in the detailed budget form or included in the amount requested by the applicant.
- In the case of a multi-institution or consortium project, CLIR will allow participating institutions to send at least one representative from each institution to each meeting. However, funds will only be reimbursed by CLIR for the first two participants. If a project wishes to send three or more representatives to a meeting, the participating institutions will be responsible for covering expenses for the additional attendees. Institutions may account for such travel support as a cost-share on the budget spreadsheet.