



Cataloging Hidden Special Collections and Archives

Building a New Research Environment

Amy Lucko and Christa Williford, Program
Officers

cwilliford@clir.org
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COUNCIL ON LIBRARY AND INFORMATION RESOURCES

1752 N STREET NW, SUITE 800, WASHINGTON DC 20036-2909

Telephone: 202.939.4750 • Fax: 202.939.4765 • Web: <http://www.clir.org>



CLIR is a research organization at “the intersection of libraries, scholarship, and technology,” facilitating projects, publications, activities, and programs related to:

- Emerging research methodologies
- New modes of scholarly communication
- The development of leadership, and
- Cyberinfrastructure (through the Digital Library Federation)

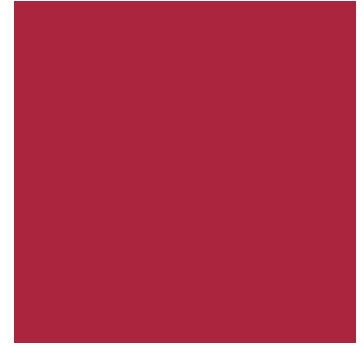
in libraries, higher education, and other cultural heritage sectors.

Recent history of “hidden collections”

- 1998 ARL Survey of Hidden Collections
- 2001 ARL Special Collections Task Force
- 2002 Library of Congress revises EAD schema
- 2003 “Hidden Collections, Scholarly Barriers” (ARL white paper); LC conference “Exposing Hidden Collections”
- 2004 DACS (SAA); Archivists’ Toolkit (Mellon Foundation); UCLA’s Center for Primary Research and Training (Ahmanson Foundation)
- 2005 Greene/Meissner “More Product, Less Process”; “A Public Trust at Risk: The Heritage Health Index Report (HHI)” (Heritage Preservation, IMLS)
- 2006 Archon, University of Illinois
- 2007 Uncovering Chicago Archives Project, University of Chicago (Mellon Foundation)
- 2008: **Andrew W. Mellon Foundation awards \$20 mil over 5 years for CLIR’s Hidden Collections Initiative**; Connecting to Collections first national tour (IMLS with numerous partners)
- 2009: CLIR report on archival management software; “Special Collections in ARL Libraries” (ARL working group report); new survey on special collections and archives (OCLC); “Age of Discovery” Forum (ARL, CNI)



Program goals



- Cataloging collections of “national significance” which will have an immediate impact on scholarship
- Using appropriate standards and tools to maximize access, efficiency, interoperability, and sustainability
- Using innovative approaches to cataloging and outreach that engage scholars and other user communities and can be models for other institutions

Reviewers ask

- What is the importance of the collection(s) to be cataloged to the scholarly community? Does the proposal clearly demonstrate the value the materials, if cataloged as proposed, will hold for a broad range of scholars?
- How innovative and cost-effective is the proposed approach to the cataloging process? How might it serve as a model for others?
- How well are scholars, including students (graduate or undergraduate), represented in the proposed project?



Program organization



- Directed by 12-member Review Panel, half of which are scholars and half from the library and archival communities
- \$4 million in funds to be awarded in 5 yearly cycles (2011 is the 4th cycle), renewable annually contingent upon program success
- Projects must range in size from \$75-\$500K and be 1-3 years in duration
- Cycle announcement in late winter; pre-proposals due in March; final proposals due in July; awards announced in December, disbursed in January
- 1.35 FTE staff at CLIR administer grant cycle and document outcomes

Eligibility

- Any not-for-profit organization as defined by the U.S. Internal Revenue Codes Section 501(c)(3), Section 115, Section 170(c)(1), are eligible*, so long as collections are made available for public use.
- Eligible collections may be in any format or relevant to any subject, so long as they are hidden.
- Any standards, technologies, or tools may be applied, so long as they lead to the creation of web-accessible records.



Limitations

- Focuses on cataloging, not digitization, conservation or preservation
- Funds costs directly related to cataloging, not infrastructure or technology, and no indirect costs
- Funds original cataloging of “true” hidden collections, not retrospective conversion

What costs may be requested in the budget?

- Applicants may request funds for:
 - Salaries/wages and applicable fringe benefits for new staff members who will be specifically dedicated to the project.
 - Consultant and/or training fees related to the project.
 - Consumable supplies and materials for the project, including expendible equipment and dedicated software.
 - Other services (e.g. equipment rental, server time, backup charges) related to project objectives.



Budget, cont.:

- Requests for the following are discouraged. If requested, they must be specifically and strongly justified:
 - Salaries/wages and applicable fringe benefits for current full-time staff.
 - Tuition remission for student employees.
 - Hardware and peripheral costs such as computers, laptops, servers, etc.
 - Travel funds.
 - Conference registration and related travel. **In no instance should a proposal request funding for conference attendance that exceeds \$5,000.**
 - Translation or format migration services.



Budget, cont.

- Requests for the following are not allowed. Proposals which include a request for funds for these items may be rejected as ineligible for review:
 - Indirect costs.
 - Indirect costs listed as direct costs. This includes items such as network charges, telephone, photocopying, etc.
 - Retrospective conversion.
 - Any activities related to the digitization of materials.
 - Membership fees (consortial, professional organizations, etc.).
 - General-purpose items which may reasonably be expected to have a useful life after the project, such as office furniture, shelving, or archival cabinets.



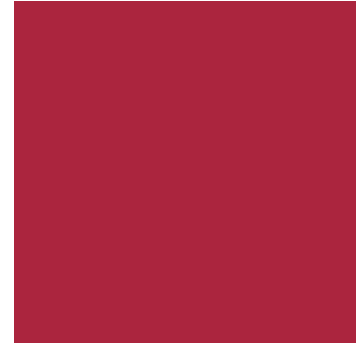
Funded Projects - Overview

- Average funding rate: 15.5%
- 46 funded projects 2008-2010
- Participants include historical societies, research centers, museums, and academic, independent, and public libraries and archives from across the U.S.
- Collections include books and other printed matter, manuscripts, ephemera, maps, posters, artworks, other image and video formats, audio, data sets, ledgers, blueprints, charts, scrapbooks, specimens, coins, ceramics, glass, textiles, pamphlets, CAD, and more.

For more information, see “[Funded Projects](#).”



Program Documentation



- Program Symposium, March 2010
<http://www.clir.org/hiddencollections/symposium20100329.html>
- Ongoing study: “Observations on Scholarly Engagement with Hidden Special Collections and Archives”
<http://www.clir.org/hiddencollections/engagement/engagement.html>

Key tips

- Take scholarly significance and innovation requirements very seriously—be creative and aggressive at recruiting the strongest possible advocates for your collections to write letters (at least 2 of whom should come from *outside* your institution)
- Study guidelines and website carefully
- Stay within scope (don't ask for digitization costs, conference travel, etc.)
- Work collaboratively, or at least show how your project is connected to others' work
- Demonstrate familiarity with broader efforts to address the problem of hidden collections and put your work into that context
- Research past funded projects and use them as models where it makes sense
- Budget carefully, specifically, and within program guidelines



Cataloging Hidden Special Collections and Archives

Create New Account

Please enter your information below to register with the Council on Library and Information Resources. Registering will allow you to apply, and will also help us determine your eligibility for each award. Your information will be kept confidential.

Personal Information

* Salutation (Ms./Mr.):
* First Name:
* Last Name:
* Position/Title:
* Institution:

* Email:
* Password (6 character minimum):
* Re-Enter Password:

Mailing Address

* Address 1:
Address 2:
Address 3:
* City:
* State:
* Zip:
* Country:
* Phone:

All fields marked with * are required

[Create Account](#)

Cataloging Hidden Special Collections and Archives

Your name will appear here

Sample Applicant | [Logout](#) | [My Profile](#)

To begin or continue work on your application, click "Access Application"

application

application

 [Access Application](#)

Status: Pre-Proposal in Progress
Last Updated: 01/18/2011
Application ID: 694

Your application's current status will always be indicated on the "Status" line

You may change the name, e-mail address or other information associated with your account at any time by clicking on "My Profile" (see the next page to view the Profile screen)

This number is your unique Application ID

Cataloging Hidden Special Collections and Archives

Using the "My Profile" screen, you may edit any of your personal contact information at any time.

Sample Applicant | [Logout](#) | [Main Page](#)

Edit Personal Information

Please enter your information below to register with the Council on Library and Information Resources. Registering will allow you to apply, and will also help us determine your eligibility for each award. Your information will be kept confidential.

Personal Information

* Salutation (Ms./Mr.):
* First Name:
* Last Name:
* Position/Title:
* Institution:

* Email:
* Password (6 character minimum):
* Re-Enter Password:

To exit the "My Profile" screen and return to the main application screen, click "Main Page"

Mailing Address

* Address 1:
Address 2:
Address 3:
* City:
* State:
* Zip:
* Country:
* Phone:

All fields marked with * are required

[Update Account](#)

Cataloging Hidden Special Collections and Archives

Your name will appear here

Sample Applicant | [Logout](#) | [My Profile](#)

To begin or continue work on your application, click "Access Application"

application

application

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This number is your unique Application ID

Cataloging Hidden Special Collections and Archives

Login

Application ID:

Password:

Login

[Forgot Your Password?](#)

Search

Search Hidden Collections Registry

Continue Application Process

CLIR Hidden Collections Application

** Information that will be disclosed to the public as part of the overall cataloging effort.

- General Information
- Eligibility Information
- ** Collection Identification
- ** Description of Content
- Upload Files

Notice that you only see five tabs when you first enter your new application. To access the complete application, you'll need to confirm your eligibility to apply on the "Eligibility Information" tab.

When a tab is fully complete and requires no further information, it will be marked with a red checkmark. During the pre-proposal phase the General Information tab does not require any information from the applicant, so the tab will be automatically checked.

General Information

All sections of this application are required.

* You will not be able to submit an application until you have provided all 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 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 may be made throughout the application period at any time prior to your submission of the application. 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.

Cover Sheet

Upload file (.pdf): This file will be accepted only in the final proposal phase.

Applicant Name: Sample Applicant
Application Status: Pre-Proposal in Progress
Last Updated: 01/18/2011
Application ID: 694

You'll see this message throughout the pre-proposal application, alerting you to elements which will be required should your application advance to the final proposal phase. (These documents cannot be uploaded during the pre-proposal phase.)

Continue Application Process

CLIR Hidden Collections Application

** Information that will be disclosed to the public as part of the overall cataloging effort.

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- Upload Files

On several tabs you'll be asked to provide answers in a separate document. Files can only be uploaded on the "Upload Files" tab, although you may then view your uploaded documents on the various subject tabs.

Eligibility Information

Is the applicant institution a not-for-profit organization, as defined in [CLIR's Proposal Application Guidelines](#)? Yes No

Is the collection owned and held in the U.S.? Yes No

Do you wish to apply for funding? Yes No

See the tab called "Upload Files" at the bottom of the list of tabs on the left-hand side.

Provide proof of applicant organization's non-profit status (.pdf). For a list of acceptable documents, refer to [CLIR's Proposal Application Guidelines](#).

Please submit this file on the "Upload Files" tab to complete this section.

For those institutions which are not colleges or universities, upload a list of board or trustee members (.pdf).

Please submit this file on the "Upload Files" tab to complete this section.

REMINDER: Some of the descriptive information that you provide will be disclosed as part of the overall cataloging effort.

Accept to continue Do not accept

Save Eligibility

To access the full application, please answer the three "Yes/No" questions on this page and indicate your acceptance of the final reminder. If you are eligible to apply for a CLIR Hidden Collections grant based on your answers, when you click "Save Eligibility" the tabs for the full application will appear.

** Information that will be disclosed to the public as part of the overall cataloging effort.

- General Information**
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 - Innovation
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Description of Content

Provide a brief description of the material (e.g., topic, period covered, geographic scope, relevance to individuals, etc.) (max 1500 characters):

1500 characters left

From what period do the materials date?

(year) BC AD

TO

(year) BC AD

What is the geographic scope of the project? (max 150 characters)

150 characters left

What is the format? Check all that apply:

- Text (including electronic texts)
- Image (including photographs, moving images, drawings, etc.)
- Audio (including speech and music)
- Book (including serials)
- Manuscript
- Specimen (botanical, geological, medical, etc.)
- Data Set (paper-based or electronic)
- Work of Art (including original paintings, prints, sculpture, etc.)
- Artifact (including archaeological objects, weapons, machinery, instruments, costumes, textiles, ceramics, glass, furniture, etc.)

Other, Please Specify:

If a preliminary finding aid or description does exist, provide a brief description. If there is a URL for the collection/project, please provide that URL. (max 600 characters)

600 characters left

REMINDER: The descriptive information that you provide on this tab will be disclosed as part of the overall cataloging effort.

Save

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Characteristics

Are the contents of the collection(s) in any way at risk or endangered?

Yes No

If yes, please explain briefly the nature of the threat. (1500 characters):

1500 characters left

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

Yes No

Are there physical or artifactual characteristics of the materials that would inhibit either the cataloging effort or future digitization?

Yes No

If applicable, describe your institution's approach to conservation of these materials. Also explain any physical or artifactual characteristics of the materials that would affect either the cataloging effort or future digitization. NOTE: No funds under this request may be directed toward conservation, stabilization or digitization activities. (1500 characters)

1500 characters left

Save

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Rights

Does the institution hold the rights to these materials, including the rights or permission to digitize the materials at a future date?

Yes No

Please explain any limitation, embargoes, or other restrictions. (1500 characters)

1500 characters left

Save

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Access Policy

What is the current access policy with respect to the use of these materials? Might this change as a result of this project, or subsequent to other future initiatives (e.g. digitization)? (1500 characters)

1500 characters left

Save

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Value and Significance

Upload three letters of support for your project. These letters must come from individuals knowledgeable about the collections or some other aspect of the project, but may not come from those who are directly affiliated with the project. It is **strongly recommended** that applicants obtain these letters of support from scholars outside their home institution. Reviewers may look more favorably upon external letters as representative of the materials' value to the wider scholarly community. (.pdf)

Reference letter 1: **This file will be accepted only in the final proposal phase.**

Reference letter 2: **This file will be accepted only in the final proposal phase.**

Reference letter 3: **This file will be accepted only in the final proposal phase.**

Institutional support letter: **This file will be accepted only in the final proposal phase.**

Describe the value of the collection(s) to scholarship and the ways that scholarship would be enriched by greater access to these materials. (max 3000 characters)

3000 characters left

Save

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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. If there are no such collections, please denote this by entering "N/A" in the space below. (1500 characters)

1500 characters left

Save

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Innovation

Describe innovative aspects of the project (e.g. cataloging, archival descriptions, dissemination). (3000 characters)

3000 characters left

Save

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Impact

Describe your approach to expanding the impact of your project through outreach and professional activities. (3000 characters)

3000 characters left

Save

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Initiatives

Describe any initiatives that might be triggered by availability of access to these materials. (1500 characters)

1500 characters left

Save

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Technical Approach, Management, Staffing and Training

Upload file: **This file will be accepted only in the final proposal phase.**

Provide a short summary of your technical approach. (max 1500 characters)

1500 characters left

Who will serve as the Principal Investigator(s) for the duration of this project?
(Please enter at least one investigator. You may enter up to three investigators.)

[+ Add a Principal Investigator](#)

Save

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Project Plan

Upload file: **Please submit this file on the "Upload Files" tab to complete this section.**

How many staff will be assigned to this project? Complete all that apply:

	Full Time	Part Time
Current Professional Staff:	<input type="text"/>	<input type="text"/>
New-Hire Professional Staff:	<input type="text"/>	<input type="text"/>
Current Non-Professional Staff:	<input type="text"/>	<input type="text"/>
New-Hire Non-Professional Staff:	<input type="text"/>	<input type="text"/>
Students:	<input type="text"/>	<input type="text"/>
Volunteers:	<input type="text"/>	<input type="text"/>
Total:	<input type="text"/>	<input type="text"/>

Save

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Qualifications

Resumes for up to three key personnel on this project may be provided below. Resumes are required for Principal Investigators listed on the Technical Approach, Management, Staffing and Training tab. Resumes must not exceed 2 pages each. Failure to adhere to these guidelines will automatically disqualify the application from consideration.

* All files must be in PDF format. Filenames must not include spaces or any of the following characters < > : " \ | ? * & ' , ; { } [] ()

Upload file 1: Please submit this file on the "Upload Files" tab to complete this section.

Upload file 2: Please submit this file on the "Upload Files" tab to complete this section.

Upload file 3: Please submit this file on the "Upload Files" tab to complete this section.

Describe the relevant qualifications of the Principal Investigator, project manager, supervisory personnel and/or technical specialists, e.g. experience with special collections, cataloging projects, and/or work with students or volunteers. (1500 characters)

Summary (max 1500 characters):

1500 characters left

Save

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Training

Will training be required?

Yes No

If yes, please describe (max 1500 characters):

1500 characters left

Save

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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.

Summary (max 3000 characters)

3000 characters left

Will funds from the grant be applied to current staff salaries, infrastructure or other elements of technical support?

Yes No

If so, justify the need to cover such costs with external funds and their relevance to the proposed cataloging effort. (max 1500 characters)

1500 characters left

Would your institution be willing to participate in an ongoing CLIR study focusing on innovative aspects of hidden collections cataloging projects, and/or in a post-project evaluation? *NOTE: Participation in these activities is encouraged, but not required, and your answer will not affect consideration of your application in any way.*

Yes No

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Funding

CLIR requires all applicants to complete and upload two budget documents.

1. The Budget Narrative should include a full description of the budget, explaining the need for each budget line and the method(s) used to compute the projected costs. If software or equipment is being purchased or work is being outsourced, the vendors being considered should be mentioned. A brief explanation of how the grantee institution would manage the grant funds should also be included in this section.
2. The Budget Detail must provide a detailed budget broken out by year. The Budget Detail must be submitted using CLIR's form, which may be downloaded [here](#). The form must be re-saved into PDF format prior to upload, with any subcontracts appended to the end of the document.

* Filename should not include any of the following characters < > : " / \ | ? * & ' ; { } [] ()

Budget Narrative file (.pdf): Please submit this file on the "Upload Files" tab to complete this section.

Budget Detail file (.pdf): Please submit this file on the "Upload Files" tab to complete this section.

What is the size of the request (in whole dollars)?

How large is the institutional cost share? (Cost sharing is encouraged, but is not required.)

Total value of the project, including requested and cost sharing funds? **\$0.00**

Have other sources of funding been considered? Yes No

Describe prior efforts, if any, to identify other sources of funding for this project, and explain why this project is uniquely suited to this funding program. (max 1500 characters)

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This upload - the board or trustee list - is required only from those at institutions which are not colleges or universities. The system will recognize your application as complete without this file - but if you are from a non-college or -university organization, be sure to remember to include this document!

Upload Files

Your information has been saved.

After a file has been uploaded, you may click "View" to review it, or "Delete" to remove it and upload another file.

Eligibility Information

Provide proof of applicant organization's non-profit status (.pdf). For a list of acceptable documents, refer to CLIR's [Application Guidelines](#).

For those institutions which are not colleges or universities, upload a list of board or trustee members (.pdf).

Project Plan

Upload a document that details the project plan, including staffing, milestones, and deliverables. The project plan should also address plans to insure the long-term sustainability of the project at the institution(s), and any plans to promote the use of the targeted collections.

Applicants may include in their document an appendix to the plan outlining participating institutions, collections to be cataloged, number of items and format. There is no page limit for this appendix, but it must follow the form outlined [here](#).

Document guidelines for the project plan: maximum 2 pages (not including the appendix); text must be in Times New Roman font, 12pt size, single-spaced and aligned left, minimum margins 1 inch. Applicants may include tables, images, etc. at their discretion, but may not exceed the 2 page limit. Failure to adhere to these guidelines will automatically disqualify the application from consideration.

* Filename should not include any of the following characters < > : "/\| ? * & ' , ; { } [] ()

Upload file:

To upload a file, click on the "Browse" button. Navigate to the file you wish to upload and select it, then click "Upload."

Qualifications

Resumes for up to three key personnel on this project may be provided below. Resumes are required for Principal Investigators listed on the Technical Approach, Management, Staffing and Training tab. Resumes must not exceed 2 pages each. Failure to adhere to these guidelines will automatically disqualify the application from consideration.

* All files must be in PDF format. Filenames must not include spaces or any of the following characters < > : "/\| ? * & ' , ; { } [] ()

Upload file 1:

Upload file 2:

Upload file 3:

- Training
- Project Plan
- Qualifications
- Training
- Institutional Capacity
- Prior Collaborations
- Cataloging Backlog
- Institutional Priorities
- Funding
- Upload Files

Funding

CLIR requires all applicants to complete and upload two budget documents.

1. The Budget Narrative should include a full description of the budget, explaining the need for each budget line and the method(s) used to compute the projected costs. If software or equipment is being purchased or work is being outsourced, the vendors being considered should be mentioned. A brief explanation of how the grantee institution would manage the grant funds should also be included in this section.
2. The Budget Detail must provide a detailed budget broken out by year. The Budget Detail must be submitted using CLIR's form, which may be downloaded [here](#). The form must be re-saved into PDF format prior to upload, with any subcontracts appended to the end of the document.

* Filename should not include any of the following characters < > : " / \ | ? * & ' , ; { } [] ()

Budget Narrative file (.pdf):

Budget Detail file (.pdf):

CLIR Hidden Collections Application

** Information that will be disclosed to the public as part of the overall cataloging effort.

Your pre-proposal application is now ready to be submitted. Once your application has been submitted, you may no longer change it.

Please review the application carefully to ensure all information contained therein is correct prior to clicking the "Submit Application" button.

Submit Application

- ✓ General Information
- ✓ Eligibility Information
- ✓ ** Collection Identification
- ✓ ** Description of Content

Upload Files

Your budget breakdown was uploaded successfully.

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Cataloging Hidden Special Collections and Archives

Building a New Research Environment

Amy Lucko and Christa Williford,
Program Officers

<http://www.clir.org/hiddencollections/>

hiddencollections@clir.org