RECORDINGS AT RISK
Application Guidelines

Carefully read the following guidelines before starting the application process. Additional information and resources are located on the Applicant Resources page. Still have questions? Contact recordingsatrisk@clir.org. During the application period, CLIR accepts inquiries by e-mail only.

CONTENTS

Council on Library and Information Resources
1707 L Street, NW, Suite 650, Washington, DC 20036
202-939-4750   www.clir.org

INTRODUCTION

What are the application guidelines?

The application guidelines serve as an instruction manual for the Recordings at Risk application. The guidelines walk applicants through each question in the application, providing information on the ground that should be covered in each response and the rationale behind each question.

How should I use the application guidelines?

Applicants should fill out the application with the guidelines in hand and refer to them as they reflect on each question. The guidelines are in PDF format so that they can be downloaded or printed for easy reference. The guidelines can be navigated using the links and page numbers listed in the table of contents.

Where can I find other resources to help plan the proposal?

Applicants preparing a proposal should visit the Applicant Resources page on the Recordings at Risk website. This page includes short informational videos, sample proposals, a document library, frequently asked questions, and a template in Google Docs designed for collaborative writing on draft proposals. Other relevant resources on topics related to Recordings at Risk are available on the DLF Digitizing Special Formats wiki.

Hidden Collections Registry

CLIR's Hidden Collections Registry is an open discovery tool that highlights rare and unique library, archival, and museum collections. The registry includes collections nominated for the Recordings at Risk grant program, as well as those that have been contributed independent of the funding initiative.

All collections submitted to CLIR through Recordings at Risk will be automatically added to the registry. Registry entries are short and include basic descriptive information about the materials nominated for digitization and their significance to scholars and the public.

Fields from the Recordings at Risk application that inform the registry are marked with the icon at left.

For additional information on the Hidden Collections Registry and to see sample registry entries visit: registry.clir.org.

SECTION 1. PROJECT SUMMARY

Applicant Institution (legal name) 🗏

Provide the full legal name of the institution applying for the grant. In the event this proposal is approved for funding, this institution will assume fiscal responsibility for the proposed project.

Applicant Institution (colloquial name)

Provide the colloquial name of the institution if other than above (e.g., Sample University, Campus).

Note: Institutions may submit only one application for funding in any given cycle, regardless of the institution's size. If two or more applications are received from an institution in one application cycle, CLIR will contact the institution to ask which application should be advanced to the review phase.

Collection/Project Title *Limit: 50 words* 🗏

A good project title is brief and includes language suggesting the subject matter of the source materials to be digitized. Titles of funded projects will be made available on CLIR's website.

Project Summary *Limit: 150 words* 🗏

Write a paragraph-length summary of the proposed project that notes the nature of the source materials to be digitized, major activities to be undertaken during the project, and the significance of the project for scholarship.

Why we ask: This will be used for reference during review panel discussions. If the proposal is approved for funding, this summary will be posted on CLIR's website and used in other publicity related to the Recordings at Risk program.

Representative Thumbnail Image 🗏

Upload one image to represent the project.

Why we ask: This image will be used to identify and promote the collection(s) on CLIR's Hidden Collections Registry.

What is the size of the request? ▤

Applicants may request as little as $10,000, or as much as $50,000, per project. Requests for amounts outside this range are not eligible for consideration. **Be sure to verify that the figure entered here matches the figure listed in your budget documents.**

Provide the proposed project length in whole months
•	Projects must be between 3 and 12 months in length.
•	Projects may begin as early as May 1, 2018, or as late as February 1, 2019.
•	All projects must conclude by April 30, 2019.

Provide the proposed project start and end dates

All projects should start on the first of the given month (e.g., January 1), and end on the last day of the given month (e.g., November 30) when the project closes.

Letter of institutional support *(Max 10MB, .pdf format only)*

Provide a letter from a head administrator at the applicant institution. The letter should address the following:
•	the institution's support for the project,
•	its readiness to undertake all outreach and preservation activities described in the proposal,
•	its recognition that the project is consistent with the institution's mission and current strategic goals,
•	the specific conditions under which the digital content created through the project will be preserved for the long term and made available for study and re-use, and
•	the institution's commitment to assert no new rights or introduce no restrictions except those already required by law and/or existing agreements pertaining to the source materials.

Resubmission?

Indicate if this application has previously been submitted for consideration.

If this application is a resubmission, explain what changes have been made in response to reviewer comments. *Limit: 500 words.*

SECTION 2. DESCRIPTION OF CONTENT

Description of materials *Limit: 300 words* 📃

Provide a description of the source materials to be digitized. This should include:
- all available information about their provenance,
- their current arrangement,
- any descriptions of them in catalogs, databases or finding aids, and
- their current accessibility for public use (if any). If applicable, provide URLs for any collection descriptions available online.

Geographic scope *Limit: 50 words* 📃

Describe the range of geographic regions represented in the materials nominated for digitization. Do not describe the current or future location(s) of the original, physical materials.

Date range of materials to be digitized 📃

List your best estimate of the date range covered by the materials, in whole years. Dates should be formatted as YYYY - YYYY (e.g., 1979 - 1985).

Condition *Limit: 300 words*

- Describe the current condition and housing of the materials, and the means by which the condition was assessed.
- Identify the individual(s) responsible for the assessment and approximately when the assessment took place.
- Describe any environmental provisions made for the long-term management of the source materials.

If information relevant to condition and housing of materials is discussed elsewhere in the application, such as in a service provider's proposal, you may refer to the pertinent sections or attachments (provided that all the required information is covered).

Quantities and types of materials to be digitized 📃

Enter quantities and types of recordings to be digitized in the proposed project. Begin by selecting the total number of categories from the dropdown (between 1 and 10 are allowed) in order to generate data entry fields. To fill out each category, first select an audio, video, or film format from the Material Type dropdown. If the format is not listed, select Other from the dropdown and then write the type of format in the Other Format field (this text-box will appear only if you have selected Other from the drop-

down). Next, enter the Quantity of Material and select the Unit of Measurement. There are two available units of measurement: items and recorded hours. If necessary, use the Additional Information textbox to provide more detail, such as brand of medium.

Note: Do ***not*** describe the same materials twice, using two different units of measurement. Account for each item only once.

SECTION 3. SCHOLARLY AND PUBLIC IMPACT

Describe the impact of the proposed project on scholarship and the public *Limit: 300 words*

This part of the proposal should address the importance of the collections to teaching, research, and the creation of new knowledge, art, or experience. It should not merely provide a more detailed description of the materials than is given elsewhere in the application. In other words, this statement should go beyond asserting the significance of the subjects covered in the original materials and instead explain how a scholar's or the public's understanding and experience of those subjects could be enriched or transformed through exposure to the recorded content.

Why we ask: Scholarly and public impact are the primary criteria upon which applications to this program are assessed. CLIR instructs reviewers to prioritize projects that include collections of high importance to a variety of disciplines and uses. Projects nominating materials likely to have a national or international impact will be more competitive than projects with narrow local or regional relevance.

Provide at least one, and up to three, letters from experts familiar with the material's content in support of the project, attesting to the potential impact of the proposed project *(Max. 10MB each, .pdf format only)*

These letters must come from individuals knowledgeable about the source materials to be digitized, but may not come from those who are directly affiliated with the project. Experts will normally be practicing scholars or other professionals poised to use the digitized recordings in research, teaching, or the creation of new work. Applicants are required to provide at least one letter of support.

It is strongly recommended that applicants obtain the letter(s) of support from qualified experts working outside their home institution and, where possible, their local region, as reviewers generally look more favorably upon external letters as representative of the material's value to the wider community.

SECTION 4. RISK ASSESSMENT

Explain the urgency of the proposed project in terms of the risk of loss of information recorded on the audio or audiovisual carrier. *Limit: 300 words.*

> *Why we ask:* The purpose of the Recordings at Risk program is to help collecting institutions preserve highly significant time-based media at risk of loss due to media degradation and obsolescence, so this section gives applicants an opportunity to explain these risks, their strategic priorities for mitigating these risks, and how the proposed project advances those priorities.

SECTION 5. RIGHTS, ETHICS, AND RE-USE

Summarize all known rights, embargoes, and ethical or legal considerations pertinent to the nominated collection and describe how this information will be communicated to future users. *Limit: 500 words.*

Explain how these issues will affect circulation of, access to, and/or re-use of the digital copies (including any plans to charge fees for commercial and/or non-commercial use or specific attribution requirements for re-use of digital copies created through this project). If personally or culturally sensitive information is present (or could potentially be present) within nominated recordings, describe how the institution will uphold ethical and moral claims and the rights of interested individuals or communities.

> *Why we ask:* This statement will allow reviewers to assess applicants' understanding of the legal and ethical issues affecting the provision of access to nominated content, as well as the appropriateness of the chosen methods and policies for providing access given legal and ethical considerations applicable to the content of the recordings. Imposing reasonable limits on access to digitized recordings because of legal or ethical considerations will not disadvantage a proposal in this competition.

Indicate that all parties to this proposal understand that as a condition of acceptance of any Recordings at Risk award from CLIR, all metadata created in the course of funded project activities must be dedicated to the public domain under a CC0 Creative Commons license. Exceptions to this requirement will be made for culturally sensitive metadata.

Indicate that all parties to this proposal understand that as a condition of acceptance of any Recordings at Risk award from CLIR, recipient institutions must not claim additional rights or impose additional access fees or restrictions to the digital files created through the project, beyond those already required by law or existing agreements pertaining to the source materials. Exceptions may be made for those materials in the public domain without the express wishes of local, traditional, and indigenous source communities.

SECTION 6. PROJECT DESIGN

Upload a project plan with timeline that includes all major project activities and deliverables (*Max. 2 pages, 10MB, .pdf format only*)
The project timeline should be as explicit as possible and identify:
- major activities to be undertaken during each stage of the proposed grant term,
- the parties who will participate in those activities, and
- deliverable deadlines.

Describe the technical approach to be used for the digitization, metadata creation, ingest, and digital preservation activities to be undertaken during the project term. If these details are covered elsewhere in the application, such as in a service provider's proposal, you may refer to that documentation rather than repeat the information. *Limit: 300 words.*

Digital preservation plan. Describe in detail the processes and parties responsible for preserving the files created during the project, and how preservation activities will be managed over time (*Max. 2 pages, 10MB, .pdf format only*)

The digital preservation plan should address how, when, and where certain tasks will take place, and who will be responsible for them. Tasks include:
- the creation of multiple copies of digital files created through the project,
- scheduled fixity checks,
- periodic migration of data to new storage media, and
- any metadata creation that enables these activities.

List and describe all envisioned project deliverables. Explain the means through which each deliverable will be made available to the public, and any conditions or terms limiting the availability of these deliverables. *Limit: 300 words.*

- Describe all project deliverables and articulate your strategy for project-related outreach to scholars, professionals, and the public once the materials have been digitized.
- Explain the means through which the content will be made available for study and re-use, plans for connecting the content to related collections held elsewhere in your own and at other institutions, and any planned or potential future initiatives to be built upon this investment.

If applicable, list the name(s) and URL(s) of the catalogs/repositories/services through which the digitized files and/or associated metadata will be made available.

SECTION 7. SERVICE PROVIDER INFORMATION

Address and contact information. Provide the name, address, and contact information for the external service provider that has been selected to partner with the applicant institution. Note: If you plan to work with multiple service providers, include their address and contact information as well. This situation may occur, for instance, if a project contains multiple formats and the applicant cannot find a single service provider that can digitize them all.

Rationale for service provider selection. Demonstrate that due diligence has been observed in selecting an external service provider to perform technically competent and cost-effective digitization. Discuss elements of the service provider proposal that had significant impact on the final decision and compare these elements with the offerings of alternate service providers considered during project planning. ***Note:*** Service provider proposals are submitted in Section 8. Funding; make sure that there are no discrepancies between figures discussed in the rationale and the service provider proposals. *Limit: 300 words.*

SECTION 8. FUNDING

Budget Documents

All applicants must complete and upload three budget documents.

1. Budget Narrative *(No page limit, max. 10MB, .pdf format only)*

The Budget Narrative must describe and justify the cost assumptions for each category and line item in the Budget and Financial Report form. Click here for information on allowable and disallowable costs.

The Narrative should include the following sections, as applicable to your project.

- *Line items:* Explain the need for each budget line and the method(s) used to compute the projected costs.
- *Grant management:* Briefly explain how the applicant institution would manage the grant funds if awarded.
- *Rationale for support:* Explain the applicant institution's need for external funding through this program, including any reasons that the activities described in the proposal cannot be supported by the institution itself.

You may also include additional narrative sections related to your budget as necessary to provide the reviewers with appropriate context.

2. Budget and Financial Report form *(Must follow CLIR's template; max. 10MB, .xls or .xlsx format only)*

Provide a detailed budget. The Budget and Financial Report form must be submitted using CLIR's budget form.

Note: CLIR does not fund indirect costs. To see CLIR's indirect cost policy, click here.

3. Service Provider Proposal(s) *(No page limit, max. 10MB, .pdf format only)*

Provide a final proposal from the external service provider you have selected that supports the proposed costs listed in the budget documents, as well as proposals from additional or alternative providers considered. Applicants are strongly encouraged to include proposals from multiple service providers. Up to three proposals may be submitted in this section, including the selected proposal. Additional proposals may be submitted as appendices.

SECTION 9. APPLICANT INFORMATION

Applicant Institution Address
If this proposal is approved for funding, payment will be made to the applicant institution as named at the beginning of this application form and will be mailed to the address listed here.

Proof of Nonprofit Status *(No page limit, max. 10MB, .pdf format only)*
All applicants must provide proof of their nonprofit status. This document must include the applicant institution's legal name and Employer Identification Number (EIN; this number is also known as a Federal Tax Identification Number). Institutions that are not colleges, universities, or federally recognized tribal organizations

must provide a copy of the applicant institution's IRS determination letter below.

Federally recognized tribal organizations must instead provide documentation showing formal status as a Native American tribe.

Board/Trustee List *(Must be on letterhead, max. 10MB, .pdf format only)*
Any applicant institution that is not a college, university, or federally recognized tribal organization must upload a current list of the organization's board or trustee members. The list must be on the applicant institution's letterhead.

Principal Investigator(s) Contact Information
Provide the contact information for the proposed project's primary Principal Investigator(s) (PIs). The primary PI, to be listed first, will take direct responsibility for completing the project, should funds be awarded. He or she must be significantly involved with the project's direction and execution and will be responsible for submitting required narrative and financial reports to CLIR and for all other project-related communications with CLIR. Normally the primary PI is formally affiliated with the applicant institution. Applicants may propose up to three PIs for their project. All applicants must assign at least one PI.

ADDITIONAL INFORMATION

Applicants may include additional relevant appendices with this application. To upload appendices, go to the Additional Information section of the application. Click the Attach File button and then select a file to upload. After the progress bar fills to 100%, the uploaded file will be listed below. Click on the "..." icon to edit, preview, download, or remove the file. Once all appendices have been uploaded, click the Mark as Complete button to finish.

Allowable appendices include:
• summary documentation of collection assessments,
• relevant accession documentation,
• donor agreements,
• photographs of the nominated materials,
• additional service provider proposals,
• audio or video samples relevant to the nominated materials, or
• sample metadata records.
There is no limit to how many appendices can be uploaded. Note that all applicants are limited to a maximum of three letters of support, as indicated in Section 3, and additional letters will not

be accepted as appendices. If you have questions about whether or not a particular type of documentation may be included as an appendix to your application, contact program staff.

REVIEW AND SUBMISSION

Once each section of the application has been marked as complete, the Review & Submit button will become active. Clicking this button will present the entire application (including uploads) for review. If revisions are necessary, click the Back to Application button to return to the previous screen. If the application is complete, click the Submit Your Application button at the bottom of the screen. A confirmation message should appear and you can click the Go to My Applications button to view your completed application.