



# Recordings at Risk

## *Cycle 6 Application Guidelines & Template*

**Carefully read the following guidelines and template before starting the application process.** Additional information and resources are located on [the Applicant Resources page](#). Still have questions? Contact [recordingsatrisk@clir.org](mailto:recordingsatrisk@clir.org). During the application period, CLIR accepts inquiries by email only.

**\*\*\* NOTE: THIS IS A LOCKED DOCUMENT \*\*\***

**All proposals must be submitted through the official [online application form](#).**

**To work on this in Google Docs, [create a personal, editable copy](#) (Google account required).**

**Those with AdobePro accounts may be able to draft responses directly in this file.**

All proposals must be submitted through the online application form by  
**July 9, 2019 at 11:59 Pacific.**

Council on Library and Information Resources  
2221 South Clark Street  
Arlington, VA 22202  
[www.clir.org](http://www.clir.org)

# Contents

Clicking the headers below will take you to that section in this document.

<b>Contents</b>	2
<b>Introduction</b>	4
What are the application guidelines and template?	4
How should I use the application guidelines and template?	4
Where can I find other resources to help plan my proposal?	4
A Note on Icons	4
Hidden Collections Registry	4
Document Uploads	5
<b>Online Application</b>	6
Eligibility Questions	6
Application Form	8
APPLICATION FORM PAGE 1 OF 5	8
SECTION 1. PROJECT SUMMARY	8
APPLICATION FORM PAGE 2 OF 5	11
SECTION 2. DESCRIPTION OF CONTENT	11
APPLICATION FORM PAGE 3 OF 5	14
SECTION 3. SCHOLARLY AND PUBLIC IMPACT	14
SECTION 4. RISK ASSESSMENT	15
SECTION 5. RIGHTS, ETHICS, AND RE-USE	15
SECTION 6. PROJECT DESIGN	16
APPLICATION FORM PAGE 4 OF 5	17
SECTION 7. SERVICE PROVIDER INFORMATION	17
SECTION 8. FUNDING	19
APPLICATION FORM PAGE 5 OF 5	19
SECTION 9. APPLICANT INFORMATION	19
END OF APPLICATION FORM	21
Application Uploads	22
Letter of Institutional Support.	22
Letter(s) of Support.	23
Inventory of recordings to be digitized (optional).	23
Project Plan	24
Digital Preservation Plan	24

Budget Narrative.	25
Budget Detail.	25
Service Provider Proposal(s).	26
Proof of Nonprofit Status.	26
Board/Trustee List.	27
Representative Thumbnail Image.	27
Additional Information (optional)	27
<b>Review and Submission</b>	<b>28</b>
<b>Appendix A: Allowable and Disallowed Costs</b>	<b>29</b>
Allowable Costs	29
Disallowed Costs	30
<b>Appendix B: Application Checklist</b>	<b>31</b>
ELIGIBILITY QUESTIONS	31
APPLICATION FORM	31
Section 1: Project Summary	31
Section 2: Description of Content	31
Section 3: Scholarly and Public Impact	31
Section 4: Risk Assessment	31
Section 5: Rights, Ethics, and Re-Use	32
Section 6: Project Design	32
Section 7: Service Provider Information	32
Section 8: Funding	32
Section 9: Applicant Information	32
(Optional) Appendices	32

# Introduction

## What are the application guidelines and template?

The application guidelines and template serve as an instruction manual and--if copied--a collaborative workspace for preparing a Recordings at Risk application. The document walks 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 and template?

Applicants should fill out the online application with the guidelines at hand and refer to them as they reflect on each question. The guidelines and template are provided as a [GoogleDoc](#) and in PDF format so that applicants may access the content in the most convenient way to them: online, downloaded, or printed for easy reference. The document can be navigated using the links and section headings in the table of contents. All applications must be submitted through [the online application system](#).

## Where can I find other resources to help plan my 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, and frequently asked questions. Applicants unfamiliar with the Survey Monkey Apply (SM Apply) system may wish to review [CLIR's Application System Instructions](#). Other relevant resources on topics related to Recordings at Risk are available on the [DLF Digitizing Special Formats wiki](#), including [a section on digitization service providers](#).

## A Note on Icons

### 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 information about collections nominated for the Recordings at Risk and Hidden Collections grant programs, as well as information contributed by independent sources.

All collections nominated for reformatting through through Recordings at Risk, whether selected for funding or not, will be automatically added to the registry. Registry entries are short and include basic descriptive information about the materials and their potential significance for scholars and other communities of interest.



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 explore sample registry entries visit: <http://registry.clir.org/>.

## Document Uploads



Tasks from the Recordings at Risk application that require an uploaded document are marked with the icon at left, listed in the [Application Uploads section](#) of this document, and included in [Appendix B: Application Checklist](#).

# Online Application

The information below follows the order and layout of the [online application environment](#) in CLIR's application management system, Survey Monkey Apply (SM Apply). Applicants work through the online application by completing "tasks" that appear as tabs in a left-hand menu; each tab is represented below in the Heading 2 format. The bulk of the application is contained in the [Application Form](#) tab. The Application Form is divided into several pages to help applicants complete it in a series of manageable steps. This document is formatted to display 1) what is included on each tab and page within the online application environment; 2) guidelines that may be useful to developing responses to each question; and 3) "Why we ask" explanations to provide further insight into some questions.

**Note:** All fields are required unless marked as "*Optional.*"

## Eligibility Questions

**Please check each statement below to confirm you have read and acknowledged the eligibility criteria.**

**Eligible applicants must be U.S. nonprofit academic, research, or cultural organizations.**

Check to confirm

Please note that:

- Both the applicant institution and its collections must be located in the United States or an associated entity, e.g. the Commonwealth of Puerto Rico or American Samoa.
- Grants may be made to government units and their agencies or instrumentalities, provided that cultural heritage is the primary function of the unit and grant funds will be used for charitable purposes within the scope of the Recordings at Risk program. We recommend that government units wishing to apply for a Recordings at Risk grant [contact us](#) to ascertain their eligibility.
- Indian tribes, Alaska native villages, regional corporations, and village corporations are eligible to apply for funding. For purposes of funding under this program, "Indian tribe" means any tribe, band, nation, or other organized group or community, including any Alaska native

village, regional corporation, or village corporation (as defined in, or established pursuant to, [the Alaska Native Claims Settlement Act \(43 U.S.C. 1601 et seq.\)](#)), which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. [A list of eligible entities](#) is available from the Bureau of Indian Affairs, except for the recognized Alaska native villages, regional corporations, and village corporations, which should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above.

**Applicants must submit only one application per institution.**

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.

Check to confirm

**Applicants may request as little as \$10,000 or as much as \$50,000 per project.**

Check to confirm

**The grant may fund up to 100% of the direct costs of audio or audiovisual digital reformatting services to be provided by an external service provider.**

Check to confirm

**Applicants must demonstrate a commitment to the long-term preservation of the digital files created through the project.**

Check to confirm

**Applicants must agree to create appropriate descriptive and technical metadata for all content digitized through grant funds, and to dedicate this metadata to the public domain. Exceptions to this requirement will be made for culturally sensitive metadata. Please [contact us](#) with any questions regarding exceptions to this requirement.**

Check to confirm

**Applicants must explain the legal justification for their proposed activities and all legal and ethical constraints affecting potential access to and reuse of digitized content, and they must detail the terms and conditions under which access will be provided for the purposes of research.**

Check to confirm

## Application Form

The Application Form tab in SM Apply contains the bulk of the application contents. The Application Form within the online grant management system is 5 pages long. In the document below, page divisions are marked by headers such as "Application Form Page 1 of 5". Before moving to the next page, the system will prompt you to "Save & Continue Editing." You may navigate to other pages of the form by using the "Previous" and "Next" buttons at the bottom of each page. While you may upload files in any order (See [Application Uploads](#) section below), you must enter something for each required element of the application form to move to the next page (note: all fields are required unless marked "optional"). You may use filler content to continue navigation, but be sure to check all responses thoroughly prior to "Marking as Complete."

### APPLICATION FORM PAGE 1 OF 5

#### SECTION 1. PROJECT SUMMARY

**Applicant Institution (legal name)** 

*Use this space to draft response*

**Guidelines:** 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.

**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.

**Applicant Institution (Colloquial name)** *(optional)*

*Use this space to draft response*

**Guidelines:** Provide the name of the institution applying for the grant (e.g. Sample University, Campus).

**Project Title.** *Limit: 50 words* 

*Use this space to draft response*

**Guidelines:** 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.* 

*Use this space to draft response*

**Guidelines:** 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 Funded Projects website](#) and used in other publicity related to the Recordings at Risk program.

**Representative Thumbnail Image.**  

See [Representative Thumbnail Image](#) in the Application Uploads section for more detail.

**What is the size of the request?** 

Applicants may request as little as \$10,000, or as much as \$50,000, per project.

*Use this space to draft response*

**Guidelines:** 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 3-12 months in length.

All project work must take place between October 1, 2019 and September 30, 2020.

*Use this space to draft response*

**Guidelines:**

- Projects must be between 3 and 12 months in length.
- Projects may begin as early as October 1, 2019.
- All projects must conclude by September 30, 2020.

**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.

(format MM/DD/YYYY)

<b>Project Start:</b>	<i>Use this space to draft response</i>
<b>Project End:</b>	<i>Use this space to draft response</i>

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

See [Letter of Institutional Support](#) in the Application Uploads section for more detail.

**Resubmission?** *(Optional)*

This application has been previously submitted for consideration.

If this application is a resubmission to the Recordings at Risk program, explain what changes have been made in response to reviewer comments. If this proposal was adapted from an application to another CLIR grant program (i.e. Cataloging Hidden Collections; Digitizing Hidden Collections), you may alternatively provide information about how you adapted the project to meet the requirements of Recordings at Risk. *(Optional) Limit: 500 words.*

*Use this space to draft response*

## APPLICATION FORM PAGE 2 OF 5

### SECTION 2. DESCRIPTION OF CONTENT

**Description of materials.** *Limit: 300 words.* 

Provide a description of the source recordings 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.

If applicable, provide URLs for any collection descriptions available online.

*Use this space to draft response*

**Geographic scope.** *Limit: 50 words.* 

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

*Use this space to draft response*

**Date range of materials to be digitized.** 

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

*Use this space to draft response*

**Guidelines:** Do not include historic dates that characterize the subject matter of the recordings if they are different from the dates the recordings were created. For example, if a nominated collection is a series of recordings from the 1980s of a scholar who studied the 1920s, the age range of the nominated materials would fall in the 1980s and not the 1920s.

**Condition.** *Limit: 300 words.*

- Describe the current condition and housing of the recordings, and the means by which their 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 recordings.

If information relevant to condition and housing of the recordings is discussed elsewhere in the application, such as in a service provider's proposal, you may refer to the pertinent sections or uploaded documents rather than replicating that information, but do make sure that each point enumerated above is covered in the proposal.

*Use this space to draft response*

**Material quantity and type.** 

Enter quantities and types of recordings to be digitized in the proposed project. You may add up to ten different measurement/material types, but each individual item should be accounted for in only one category.

How many categories would you like to enter? (Choose from 1 to 10)

- **Material Type:** (Select Open-reel audio tape, Audio Cassette, Shellac/lacquer/vinyl disc, Wax cylinder, Digital Audio Tape (DAT), VHS, U-Matic, 8mm video, Betamax, Betacam, 8mm film, 16mm film, 35mm film, Super 8 film, Wire recording, Mini DV, Aluminum disc, Other)
- **Other Format:** (Provide material type if "Other" is selected above)
- **Amount of Material:** (Provide a numerical value)
- **Unit of Measurement:** (Select Items or Recorded Hours)
- **Additional Information:** (Provide any additional information to explain any information you have provided)

<b>Material Type</b>	<i>Use this space to draft response; copy and paste table as needed for drafting additional categories</i>
<b>Other Format</b>	
<b>Amount of Material</b>	
<b>Unit of Measurement</b>	
<b>Additional Information</b>	

**Guidelines:** 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 textbox will appear only if you have selected Other from the dropdown). 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 about the recordings, such as their brand, estimated length, number of sides, etc.

**Note:** Do **not** describe the same materials twice using two different units of measurement. Account for each item only once. Applicants are encouraged to combine similar material types together in their accounting. For example X-brand open-reel 1/4" audio tapes and Y-brand 1/4" open-reel audio tapes should be combined in the same

category but can be further explained in the “Additional Information” textbox.

**Inventory of recordings to be digitized** (optional) 

See [Inventory of recordings to be digitized](#) in the Application Uploads section for more detail.

## APPLICATION FORM PAGE 3 OF 5

### SECTION 3. SCHOLARLY AND PUBLIC IMPACT

**Describe the impact of the proposed project on scholarship and the public.** *Limit: 500 words.*

Address the importance of the recordings to teaching, research, and the creation of new knowledge, art, or experience.

*Use this space to draft response*

**Guidelines:** This part of the proposal should address the importance of the recordings to teaching, research, and the creation of new knowledge, art, or experience. It should not merely provide a more detailed description of the recordings 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 recordings 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 [primary criteria](#) upon which applications to this program are assessed. CLIR instructs reviewers to prioritize projects that reformat recordings of high importance for a variety of disciplines and uses. Projects nominating content likely to have a national or international import will be more competitive than projects with narrow local or regional relevance. In this question, review panelists expect applicants to provide compelling arguments for impact that include specific examples.

**Letter(s) of scholarly support** (Max. 10MB each, .pdf format only) 

See [Letter\(s\) of Support](#) in the Application Uploads section for more detail. No more than three (3) letters of scholarly support are permitted; at least one (1) letter of scholarly support is required.

#### **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.*

*Use this space to draft response*

**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 recordings 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.

*Use this space to draft response*

**Why we ask:** This statement will allow reviewers to assess applicants' understanding of the legal and ethical issues affecting the provision of access to the nominated content, as well as the appropriateness of the chosen methods and policies for providing access given those issues. Imposing reasonable limits on access to digitized recordings because of

well-justified legal or ethical considerations will not disadvantage a proposal in this competition.

**Tick to confirm:**

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.

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

**Project Plan** (Max. 2 pages, 10 MB, .pdf only) 

See [Project Plan](#) in the Application Uploads for more details.

**Describe the technical approach to be used for the digitization, metadata creation, ingest, and digital preservation activities to be undertaken during the project term.**

In cases where these details are covered elsewhere in the application, such as in a service provider's proposal, it is acceptable to reference that documentation rather than repeat the information.

*Limit: 400 words.*

*Use this space to draft response*

**Digital preservation plan** (Max. 2 pages, 10MB, .pdf format only) 

See [Digital Preservation Plan](#) in the Application Uploads for more details.

**List and describe all envisioned project deliverables.**

Explain the means through which each deliverable will be made available and any applicable conditions or terms limiting their availability. *Limit: 300 words.*

*Use this space to draft response*

**Guidelines:**

- Describe all project deliverables and articulate your strategy for project-related outreach to scholars, professionals, and other communities of interest 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. (Optional)**

How many names and URLs of catalogs/repositories/services would you like to add? (up to 10 permitted)

<i>Name</i>	<i>URL</i>
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**Note:** All digitized files and associated metadata must be made available online, in accordance with CLIR's requirements and the submitted proposal, for a project to be deemed complete.

## APPLICATION FORM PAGE 4 OF 5

### 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.

Only include the address and contact information for additional service providers if you are planning to work with multiple service providers on a single project.

<b>Vendor Name:</b>	<i>Use this space to draft response</i>
<b>Vendor address:</b>	
<b>Vendor contact:</b>	
<b>Vendor phone:</b>	
<b>Vendor email:</b>	

How many additional service providers would you like to add? (*optional*) (Up to 5)

**Note:** If you plan to work with multiple service providers, include their addresses and contact information as well. This situation may occur, for instance, if a project nominates multiple media types, and the applicant cannot find a single service provider that can reformat them all. Do not include here information from service providers contacted for quotes but not named as your selected provider(s) for your proposal; it is sufficient to name them in your "rationale for service provider selection" below and to upload their proposals in the appropriate section.

**Rationale for service provider selection.**

Demonstrate that due diligence has been observed in selecting external service provider(s) that can perform technically competent and cost-effective digitization. Discuss elements of the service provider proposal that had a significant impact on the final decision and compare these elements with the offerings of alternate service providers considered during project planning.

**Note:** Make sure that there are no discrepancies between figures discussed in your rationale and in the [service provider proposal\(s\)](#) you will upload at the end of the application. *Limit: 300 words.*

<i>Use this space to draft response</i>
---

**Guidelines:** Applicants are strongly encouraged to read and provide prospective subcontractors with a copy of [CLIR's Guidelines for Grants Involving Consultants or Subcontractors](#).

If your institution has a policy against selecting a vendor prior to the award of grant funds, identify a tentative/provisional vendor for the purposes of preparing the grant budget and explain how institutional procedures and policies will govern making final selections in the event grant funds are awarded.

## SECTION 8. FUNDING

### Budget Documents

CLIR requires all applicants to complete and upload three budget documents:

- 1) [Budget Narrative](#) (No page limit, max. 10MB, .pdf format only.)
- 2) [Budget Detail](#) (must be submitted using [CLIR's Excel form](#)). (Max. 10MB, .xls or .xlsx format only)
- 3) [Service Provider Proposal\(s\)](#) (Max. 10MB, .pdf format only.) Submit a final proposal from the selected external service provider that supports the proposed costs. Applicants are *strongly encouraged* to include up to two additional service provider proposals.

See related sections in the [Application Uploads](#) section below for more information.

## APPLICATION FORM PAGE 5 OF 5

### SECTION 9. APPLICANT INFORMATION

#### Applicant Institution Address.

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

<b>Payable to Institution Name:</b>	<i>Use this space to draft response</i>
<b>Department:</b>	

<b>Contact Name:</b>	
<b>Address:</b>	
<b>City:</b>	
<b>State:</b>	
<b>Zip Code:</b>	

**Proof of Nonprofit Status.**

All applicants must provide proof of their nonprofit status.

The applicant institution's 9 digit Employer Identification Number (EIN; this number is also known as a Federal Tax Identification number) can be provided to quickly verify the nonprofit status.

Alternatively, institutions that are **not** colleges, universities, or federally recognized tribal organizations must provide a copy of the applicant institution's IRS determination letter.

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

**How will you prove your institution's non-profit status?** Based on your answer you will be prompted to provide this information once you have completed this application form.

- 9 digit Employer Identification Number
- IRS determination letter or other (to be [uploaded at the end](#)) 

**Is your organization a college, university, or federally recognized tribal organization?**

- Yes
- No

If no, you will be prompted [to provide a Board/Trustee List](#) once you have completed the application form 

### **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. This person 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. **Note:** Applicants may propose up to three PIs for their projects. All applicants must assign at least one PI.

<b>Mr./Ms./Ms./Dr. (etc.):</b>	<i>Use this space to draft response</i>
<b>First Name:</b>	
<b>Last Name:</b>	
<b>Title:</b>	
<b>Institution:</b>	
<b>Email:</b>	
<b>Address:</b>	
<b>City:</b>	
<b>State:</b>	
<b>Zip Code:</b>	

How many additional PIs would you like to propose? (0 to 2)

### **END OF APPLICATION FORM**

After you complete all required elements of the "Application Form" tab, you will be prompted to "Mark as Complete."

# Application Uploads

**Note:** Any uploaded documents that exceed the specified page limit will be truncated during the technical review process prior to being shared with the Recordings at Risk review panel.

Should changes be needed after a document is uploaded, click on the "... " icon to edit, preview, download, or remove the file.

## Letter of Institutional Support.

Provide a letter from a head administrator affirming the institution's support for the project, its readiness to undertake all outreach and preservation activities described in the proposal, and its recognition of the project's fulfillment of the institution's mission and current strategic goals. The letter must reaffirm 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, including the institution's commitment to assert no new rights or introduce no restrictions except those already required by law, ethical considerations, and/or existing agreements pertaining to the source materials.

- Max 10MB, .pdf format only
- This supports the content in [SECTION 1: PROJECT SUMMARY](#)

**Guidelines:** 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.

Applicants are encouraged to provide letter writers with a copy of [CLIR's Guidelines for Authors of Letters of Support](#) when they request those letters.

## Letter(s) of Support.

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.

Note that all applicants are limited to a maximum of three (3) letters of support, and additional letters will **not** be accepted as appendices.

- *Max. 10MB each, .pdf format only*
- This supports the content in [SECTION 3: SCHOLARLY AND PUBLIC IMPACT](#)

**Guidelines:** These letters must come from individuals knowledgeable about the source recordings 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 evidence of the project's value for a broad range of communities. Applicants are encouraged to provide letter writers with a copy of [CLIR's Guidelines for Authors of Letters of Support](#) when they request those letters.

**Why we ask:** Letters of support help reviewers understand the potential impact of a project and can underscore applicants' claims about why their project should be a priority for CLIR's program. Letters from authors who have plans to use the recordings to create new scholarship, creative works, journalism, teaching or learning resources, exhibitions, or other new experiences can be more persuasive than letters from authors without such plans, and two or three letters from authors with different perspectives can be more persuasive than a single letter from an author with a relatively narrow perspective of the value of a project for their work.

## Inventory of recordings to be digitized (optional).

If one is available or can be created, provide an inventory of the recordings

you propose to digitize, including a brief description of each recording, its condition, its estimated length, and any notes about known rights issues or anticipated restrictions that would affect access or re-use. Alternatively, applicants may provide an edited copy of one or more collection guides or finding aids with annotations that clarify which recordings from the collection(s) will be digitized.

- *File can be PDF, .xls, or .xlsx*
- This supports the content in [SECTION 2: DESCRIPTION OF CONTENT](#)

**Why we ask:** This information will give reviewers a clear understanding of exactly what recordings will be digitized through the project and gives applicants the opportunity to supply information about the condition, length, or rights status of each recording. Applicants are advised to keep documentation as concise as possible while providing a clear picture of the recordings nominated for reformatting.

## Project Plan

**Upload a project plan that includes all major project activities and deliverables, including a project timeline with deliverable deadlines.**

The timeline for the project 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.
- 
- *Max. 2 pages, 10MB, .pdf format only*
  - This supports the content in [SECTION 6: PROJECT DESIGN](#)

## 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*
- This supports the content in [SECTION 6: PROJECT DESIGN](#)

**Guidelines:** 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.

## Budget Narrative.

The Budget Narrative must describe and justify the cost assumptions for each category and line item in the Budget and Financial Report form ([Budget Detail](#)). See [Appendix A](#) for information on allowable and disallowable costs.

- *No page limit, max. 10MB, .pdf format only*
- This supports the content in [SECTION 8: FUNDING](#)

**Guidelines:** 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.

## Budget Detail.

Provide a detailed budget. The Budget and Financial Report form must be submitted using [CLIR's budget form](#).

- *Must follow [CLIR's template](#); max. 10MB, .xls or .xlsx format only*
- This supports the content in [SECTION 8: FUNDING](#)

**Note:** [CLIR's indirect cost policy](#) prohibits the funding of indirect costs.

## Service Provider Proposal(s).

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](#).

- *No page limit, max. 10MB, .pdf format only*
- This supports the content in [SECTION 7. SERVICE PROVIDER INFORMATION](#) and [SECTION 8: FUNDING](#)

**Guidelines:** Applicants are strongly encouraged to read and provide prospective subcontractors with a copy of [CLIR's Guidelines for Grants Involving Consultants or Subcontractors](#).

If your institution has a policy against selecting a vendor prior to the award of grant funds, identify a tentative/provisional vendor for the purposes of preparing the grant budget and explain how institutional procedures and policies will govern making final selections in the event grant funds are awarded.

## Proof of Nonprofit Status.

**If you indicated you will supply an IRS determination letter, this upload prompt will be visible at the end:**

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.

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

- *No page limit, max. 10MB, .pdf format only*
- This supports the content in [SECTION 9: APPLICANT INFORMATION](#)

## Board/Trustee List.

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.

- *No page limit, max. 10MB, .pdf format only*
- This supports the content in [SECTION 9: APPLICANT INFORMATION](#)

## Representative Thumbnail Image.

Upload an image to represent the project in the Hidden Collections Registry.

- *File formats allowed: .png, .jpg, .jpeg*
- This supports the content in [SECTION 1: PROJECT SUMMARY](#)

**Why we ask:** This image will be used to identify and promote the collection(s) on [CLIR's Hidden Collections Registry](#). Examples of images used by past projects may be viewed by browsing the funded projects in the Registry.

## Additional Information (optional)

Applicants may include additional relevant appendices with this application, provided their relevance to the project is clear and their length is reasonable given anticipated heavy demands on review panelists' time.

Allowable appendices include:

- summary documentation of collection assessments,
- relevant accession documentation,
- donor agreements,
- photographs of selected source recordings nominated for reformatting,
- additional service provider proposals,
- audio or video samples of other previously reformatted recordings from the same collection as the nominated materials, or
- sample metadata records.

Note that all applicants are limited to a maximum of three letters of support (see [Section 3, Scholarly and Public Impact](#) and [Letter\(s\) of Support](#)), 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](#).

**Guidelines:** 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.

There is no express limit to how many additional appendices can be uploaded, but applicants should keep in mind that reviewers will consult this documentation as their time permits and will not be expected to review especially lengthy documents or materials with only tangential connection to the proposed project.

## 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 and/or download your completed application.

# Appendix A: Allowable and Disallowed Costs

## Allowable Costs

Allowable costs within requests may include:

- Costs charged by a service provider related to stabilizing media for the purposes of preservation reformatting, conducting preservation reformatting or basic metadata creation;
- Shipping of materials to the service provider; and
- Insurance for materials during shipping and handling by the service provider.

The above costs must be supported by [an itemized proposal from the service provider](#).

Since the purpose of Recordings at Risk is to fund preservation reformatting, proposals to fund substantial additional work required to describe or make collections accessible are unlikely to be competitive, except in cases where this additional work is vital to the project and clearly beyond the capacity of the applicant institution(s).

In these cases, allowable costs may also include those incurred by the applicant for work done at the institution. If such costs are requested, their necessity—given the limitations of current institutional capacity—must be **specifically and strongly justified** in the Budget Narrative. Examples of such costs may include:

- Labor associated with conducting quality control measures by the applicant institution, metadata creation, ingest into content management systems for preservation or access, or initial backup;
- Labor or services necessary for enhancing access--such as those related to implementing automated captioning or basic transcription--for

identified communities of users (including those with different sensory requirements); and

- Purchase of digital storage media or re-housing supplies when specifically used for project activities.

All such additional costs should comprise a minor percentage of the proposal budget and must be justified in the Budget Narrative as necessary given the nature of the collection, the relative limitations of institutional capacity, and the needs of the communities of users the applicants have identified.

## Disallowed Costs

Disallowed costs include:

- Indirect costs (For more information, review [CLIR's Indirect Cost Policy](#));
- Unspecified costs (e.g., "miscellaneous," "general office supplies");
- "Contingency" costs, **except** within a service provider's proposal and when specifically justified as necessary within that proposal based upon the provider's past experience reformatting similar recordings;
- Computers, scanners, cameras, or any electronic equipment other than dedicated digital storage media;
- Software licenses or services;
- Software development;
- Tuition remission;
- Conservation treatment services other than what is necessary to conduct preservation reformatting;
- Film to film transfer;
- Manual captioning or reconstruction and/or translation of intertitles;
- Extensive processing and editing of digital audio files;
- Extensive data recovery;
- Detailed indexing or transcription services;
- Translation services, **except** for spoken-word recordings in languages listed in the [UNESCO Atlas of the World's Languages in Danger](#);
- Copyright assessment or research; and
- Networking or telephone charges, including charges for conference calls.

# Appendix B: Application Checklist

The checklist below itemizes all components of the Recordings at Risk application by section. Details on specific questions, statements, and attachments are covered in the corresponding sections of the application guidelines.

*Note: when submitting the application through CLIR's online system, all external documentation (.pdfs, .jpegs, .xls, etc.) will be uploaded at the end of the process, rather than in their corresponding thematic sections. Should changes be needed after a document is uploaded, click on the "..." icon to edit, preview, download, or remove the file.*

## ELIGIBILITY QUESTIONS

- Answer questions in this section of application form.

## APPLICATION FORM

### Section 1: Project Summary

- Answer questions in this section of application form.
- Upload [representative thumbnail image for project](#) (.jpeg).
- Upload [letter of institutional support](#) (.pdf). (Applicants are encouraged to provide letter writers with a copy of [CLIR's Guidelines for Authors of Letters of Support](#) when they request those letters.)

### Section 2: Description of Content

- Answer questions in this section of application form.
- Upload an [inventory](#) (optional, pdf or .xls).

### Section 3: Scholarly and Public Impact

- Answer questions in this section of application form.
- Upload 1-3 [recommendation letters](#) (.pdf). (Applicants are encouraged to provide letter writers with a copy of [CLIR's Guidelines for Authors of Letters of Support](#) when they request those letters.)

### Section 4: Risk Assessment

- Answer questions in this section of application form.

## **Section 5: Rights, Ethics, and Re-Use**

- Answer questions in this section of application form.

## **Section 6: Project Design**

- Answer questions in this section of application form.
- Upload [project plan](#) with timeline (*max. 2 pages*) (.pdf).
- Upload [digital preservation plan](#) (*max. 2 pages*) (.pdf).

## **Section 7: Service Provider Information**

- Answer questions in this section of the application form.

## **Section 8: Funding**

- Upload [budget narrative](#) (.pdf).
- Upload completed [budget detail](#), using CLIR's template (.xlsm).
- Upload 1-3 [service provider proposal\(s\)](#) (.pdf).

## **Section 9: Applicant Information**

- Answer questions in this section of the application form.
- Upload [proof of nonprofit status](#) (.pdf) or enter employer. identification number into system for validation.
- If not a college, university, or federally recognized tribal organization, upload a [board/trustee list](#) (.pdf).

## **(Optional) Appendices**

- Upload [appendices](#).