

# Digitizing Hidden Collections 2017 Recipients' Webinar

Wednesday June 6, 2018, 2pm Eastern

## TITLE SLIDE --Nikki

- Welcome to the introductory webinar for recipients of the digitizing hidden special collections and archives program. I'm Nikki Ferraiolo, Senior Program Officer at CLIR
- First of all, let us say "CONGRATULATIONS!" This is an extremely competitive grant program and if you're here, it's because reviewers believed that this project, and your work on it, will make an important contribution to scholarship. We are so excited to watch these projects progress over the coming months and years.
- The purpose of today's webinar is to walk you through the administrative processes associated with holding a Hidden Collections grant
- At this point, many of you will be at different stages in your grant process. Hidden Collections grants can start any time between January 1st and June 1st, so some of you will be halfway through your first year already, while others will be just starting out.
- We'll begin with a presentation, followed by time for questions at the end. We'll also be recording this webinar and uploading it to our website, so if you need to duck out early, you'll have access to this information later.
- Before we get started we'd like to help everyone get oriented with the Zoom webinar space.
  - Because of our relatively large group size today, all participants are muted.
  - If a chat box is not currently displaying on your screen, you can hover towards the bottom of your Zoom screen to open it. The default is set to send chats to presenters, so be sure to change that setting using the drop down menu to send a message to the entire group.
  - Feel free to enter questions or comments at any point in the chat box. At the end of the presentation we'll go over the questions. We may also share links here that will also be captured as part of our recording for your reference later.

## PROGRAM STAFF --Nikki/all

- We'd like to quickly introduce you to the staff members on CLIR's grant team. [quick introductions]
  - [Nikki, Joy, Kristen]
  - Also listed here are Amy Lucko and Christa Williford, who work with us on the program but are not participating in today's webinar.

## OVERVIEW--Nikki

- Today, we'll be covering the following topics:
  - Part I
    - Introduction to CLIR as an organization
    - CLIR's publications
    - Other CLIR Programs
  - Part II
    - Grant Modifications

- Reporting Requirements
  - Additional communication channels
- And then we'll end with questions. Again, please feel free at any point to type your questions into the chat box.

## **INTRODUCTION TO CLIR—Joy**

We'll start with a brief introduction to CLIR.

- For those of who may be new to CLIR, we are an independent, nonprofit organization that forges strategies to enhance research, teaching, and learning environments in collaboration with libraries, cultural institutions, and communities of higher learning.
- So what does that all mean?
  - CLIR takes on a number of roles including publishing research, convening meetings, and running programs.
  - We are an independent nonprofit--unlike our colleagues at NEH and IMLS, our activities are not prescribed by the government.
  - We are also not a private foundation. Our activities are not funded by an endowment, but rather by a combination of grants and sponsorship which gives us the flexibility to operate our programs a bit differently than the federal funders. We are also a very small operation in comparison with just 17 full time staff members.
  - The Digitizing Hidden Collections program is a re-granting program which means the funds for your projects were awarded from a grant to CLIR from The Andrew W. Mellon Foundation. CLIR reapplies to Mellon for the funds to operate the Hidden Collections program and award new grants. So we can completely empathize with all of the work that you put in to get here!
  - Along with the grants, the support of our sponsors helps cover many general operation costs at CLIR. Our sponsors include university libraries, museums, and a wide range of other cultural heritage institutions. Very little of what we do--the Hidden Collections program included--would be possible without our sponsors.
- We know that many of you are coming from sponsor institutions--so thank you for helping us do this work! If your institution does not yet sponsor CLIR and you would like to learn more about sponsorship, let us know and we'd be happy to put you in touch with our Director of Development and Outreach, Louisa Kwasigroch.

## **PUBLICATIONS--Joy**

- CLIR has long been known for its free and open publication series, also known as its "burgundy books."
- And while our scope of operation has expanded to include more programmatic activities, we still have a core emphasis on research.
- CLIR has published on a range of topics, including but not limited to audio archiving, library spacial design, publishing, data management, discovery, digital preservation, and much more.
- One publication we'd like to highlight is displayed here: *Innovation, Collaboration, and Models*.

- This was the capstone publication of our Cataloging Hidden Special Collections and Archives program, the predecessor to our current digitization program, and is meant to share the models and lessons learned from grantees between 2008-2014. This volume consists of a series of papers from a symposium and unconference held in March 2015 and is available for free on our website.
- Thinking ahead, we have plans to host a similar symposium for the Digitizing Hidden Special Collections and Archives grant program in the fall of 2020. As you are working on your projects, you may want to think about how you might share any outcomes or lessons with your colleagues at this symposium in the future.

## OTHER CLIR PROGRAMS--Joy

- In addition to Hidden Collections and our publication series, CLIR runs a number of other programs. Here's just a sample of some of the other things we do.
  - Some of you may be familiar with our **Recordings at Risk** regranting program. Focusing on preservation of at risk, high scholarly value audio, audiovisual, and film recordings, Recordings at Risk offers smaller grants over shorter period of time.
  - Our **postdoctoral fellowship program** places recent PhDs in Academic libraries and other host institutions to strengthen connections among collecting institutions, technology, and current research.
  - Our **Mellon Dissertation Fellows** supports graduates in the humanities and social sciences, conducting pre-dissertation research in archives and special collections around the world.
  - We are also involved in the **Leading Change Institute**—which is the [successor program to the Frye Leadership Institute](#) and is a bootcamp for leaders in higher education with an emphasis on issues in the information sector.
  - One of our newer endeavors is the **Digital Library of the Middle East: The DLME** aims to create a digitally based, internationally shared inventory of cultural artifacts that includes detailed descriptions and images and confirms objects' ownership and legal status.
  - And finally, some of you may be familiar with the **Digital Library Federation (DLF)**-The DLF is a robust, diverse, and inclusive community of practitioners who advance research, learning, social justice, and the public good through the creative design and wise application of digital library technologies. While CLIR is its parent organization, DLF's work is supported by its own member institutions. This support enables the DLF to plan events like the DLF Forum and foster working groups that advance the field of digital librarianship. For those who may be interested, this year's DLF Forum will take place in Las Vegas from October 15-17. Many of CLIR's programs, the Digitizing Hidden Collections program included, intertwine with the DLF's mission.

## TRANSITION SLIDE –Joy

Now that you know who we are, we will move into a discussion about some key information for you as the latest recipients of Digitizing Hidden Special Collections and Archives grants. This

next section will cover grant modifications, reporting requirements, and an overview of channels of communication. Nikki?

### **GRANT MODIFICATIONS--Nikki**

- Although we hope (and expect) that project activities listed in the approved proposal will be executed as described, we understand that unanticipated issues can arise, which may require that you deviate from the original plans you submitted.
- Many of these changes will be minor and won't require pre-approval from CLIR (for instance, 1) a change in non-PI project staff, or 2) small shifts in budget expenditures.) Changes along these lines can be addressed in a project's next narrative and financial reports.
- However, changes that affect the underlying terms of the grant must receive approval by CLIR. Examples include changes to project dates (in particular the end date!), changes to principal investigators, changes to the collections being digitized, and significant budget reallocations.
- On this slide you can see some screenshots of our Recipient Resources page on our website, where you can find the information covered in this section.

### **NO-COST EXTENSIONS (NCEs)--Nikki**

- No cost extension requests are exactly what they sound like: a request to push back the project end date (and final report), without requesting additional funding.
- These may be requested in the case of unforeseen project delays--such as a prolonged personnel search due to staff turnover, or delays caused by institutional infrastructure issues.
- No-cost extensions should be requested between 1-3 months prior to a project's end date. The reason we ask you to wait until these final months is that only one no-cost extension can be granted per project, and we have found that requests made closer to the end date provide more accurate estimates of the amount of extra time that's actually needed.
- It's important to note that extensions cannot be granted for projects whose end dates have already passed. So, I cannot emphasize enough the importance of paying attention to this date. It's also worth noting that the project end date comes *before* your final report deadline, since some people have been confused about this in the past.

### **TO REQUEST AN NCE—Nikki**

To request an extension, you should send an email to [hiddencollections@clir.org](mailto:hiddencollections@clir.org) that includes:

1. An explanation outlining the reasons behind the request.
2. A revised project plan, including an updated timeline. This plan and timeline should cover your entire project, from the start date to your new proposed end date.
3. A revised budget, using our [Grant Modification Financial Template \(.xls\)](#).

- When submitting a no-cost extension request, it's important to demonstrate consistency with the original proposal, in terms of goals, scope, collections, and approach.
  - It's usually a good idea to use the related sections of your original proposal as your starting point. In some instances, these can even be used as templates.
  - Also, if you noted any changes in your interim reports, point to them in your no-cost extension request

### **CHANGE OF PI—Nikki**

- If one of the principal investigator changes during the period of the grant, the grantee must inform CLIR immediately via email.
- Letters don't have to be long, but should have the following components:
  - They should be on organizational letterhead
  - Come from the head of the institution or department (if you are at a large institution)
  - Should provide the name and title of the proposed new Principal Investigator and the date the change will become effective
  - And a C.V. for the new Principal Investigator

### **BUDGET REALLOCATION REQUEST—Nikki**

- If you wish to allocate funds in a manner different than the original budget approved by CLIR, you should email us with a brief description of the substance and extent of the proposed modification. Be sure to include the amount of funds you would like to reallocate in your request.
- This may be sufficient, but if we determine that additional documentation is necessary, we'll invite you to submit a formal reallocation request, including a revised budget.
- If the reallocation is very small, you do not need to receive approval from CLIR.
  - As a rule of thumb, for smaller Hidden Collections projects (under \$200K) CLIR generally doesn't require notification for reallocations that amount to less than 5% of a project's total budget,
  - Larger projects (those over \$200K), and all projects really, should contact CLIR about any reallocations that are over \$10,000

Again, this information can be found on the Recipient Resources page. Should we update any of our grant modification procedures, we'll post the most up-to-date information there for your reference.

For more complicated grant modification requests, grant recipients often find it helpful to set up a phone call with a program officer prior to submitting their request. You can do this by writing to [hidencollections@clir.org](mailto:hidencollections@clir.org) to schedule a time to call.

### **REPORTING REQUIREMENTS—Joy**

Our next section will go over some of our reporting requirements.

Recipients of the Hidden Collections grant are required to submit reports according to the schedule outlined in each of your award letters. Your first report is due a year and one month

after the **start** date of your project, and then each interim report after that is due exactly one year after the previous one. Your final report is then due 3 months after your project ends. This means we should be receiving one report from you each year. If your project is only 12 months, you will just submit your final report 3 months after the end date of your project.

Your annual reports to CLIR are a deeply important part of the agreement between our grantees; CLIR; and our own funder, The Andrew W. Mellon Foundation. The Digitizing Hidden Collections staff compiles its own report on the Hidden Collections program each year, which we submit to Mellon on June 30th. This report also includes all of the reports we received from our recipients that year and communicates to Mellon the importance of the work that all of you are doing.

CLIR will accept reports for this program solely through an online form, which is linked to from our Recipient Resources page. Grantees are required to submit both narrative and financial reports **on or before** the due dates specified in your award letter. If you don't have access to a copy of your letter and need to know your designated report dates or any other information related to your report, do let us know at [hidencollections@clir.org](mailto:hidencollections@clir.org). You will also receive an email reminder from CLIR around a month prior the due date for each of your annual interim reports and around three months prior to your project's end date.

Just a few more words on reporting...

- Reports are not only a way to help us keep up with your progress but also a means for us to provide the best support to you as your project evolves. For instance, we may be able to suggest others in the Hidden Collections community who have faced similar challenges as the ones you report facing.
- Your reports can also help us to help you identify and mitigate potential issues in advance. For example, we may notice from your reports that you may need a no-cost extension and can remind you of that process.
- If you find that your report is likely to be late due to circumstances beyond your control, which we know happen--such as the surprise departure of a PI-- let us know as soon as possible! We are glad to work with our grantees in these situations, but it's important that we hear about them *before* your report is overdue.

## **REPORTING REQUIREMENTS—Joy**

We are currently in the process of migrating our grant management system from WizeHive, which you used to apply for your grant, to SurveyMonkey Apply – or SMAApply. Because of this, we are unable to preview your specific reporting environment today, but rest assured we will provide you with all the resources you need in ample time to complete your first reports. Once we have set up the reporting space for our legacy WizeHive applicants, we will also provide resources to go over that system in greater detail.

## **REPORTING TEMPLATE—Joy**

In the meantime, you can reference our [Collaborative Google Docs Template for Report Form](#), available on the **Recipient Resources** page, which includes the questions you'll be expected to answer on the reporting form. These should not change between now and the time you submit your report, so you have the option to begin working on your draft report as early as you would like.

For now, we will just briefly cover the components of the report so that you are prepared with the relevant information you need when the time comes.

### **REPORTING FORM: GENERAL INFORMATION—Nikki**

We're now going to do a quick walkthrough of the information you will be asked to include in your reports to CLIR.

The first section of our report covers general information about the project:

- Award reference number
- Project Title
- Institution/organization
- PI(s)
- Contact information of person submitting report

### **NARRATIVE ASSESSMENT—Nikki**

Section two is where you can provide a narrative assessment of your project.

The first thing we'll ask about are new internal and public developments. These are a series of checkboxes you can tick off.

**Internal developments** include things like:

- digitization metrics
- the implementation of new workflows, protocols, etc. for digitization and description,
- the implementation of new tools or systems,
- and new donations and/or grant applications

We also want to hear about **Public developments**, such as:

- The creation of new blogs, social media accounts, websites (or content created for existing ones!)
- Research guides, online/physical exhibitions, news articles
- Maybe the digitized materials are being incorporated into curricula somewhere?
- Perhaps there are publications arising from research using the digitized materials?

You'll also have a chance to summarize the project goals and objectives during the reporting period and explain any changes or additions to your original plans.

You can elaborate on the developments you checked off above and any other significant accomplishments and outcomes of the project, both for your institution, your professional community, and for the collections' users.

You can discuss challenges or setbacks you have experienced, whether expected or unexpected, and your strategies for addressing them.

You can tell us about the wonderful individuals who have made contributions to the project and briefly describe the role that each has played.

And finally, you can tell us about your outreach initiatives, future plans, and you can upload additional documentation related to the project, such as slides, workflows, training materials, assessment data, etc.

### **QUANTITATIVE ANALYSIS—Nikki**

The next section of the report form asks for information about the quantity and types of materials you have digitized to date, as well as the files you have produced.

Roughly 30 days prior to the deadline for your report, the Principal Investigator(s) will be sent a individualized Excel template for submitting quantitative data about the project. The template will be prepopulated with the deliverables identified in the original proposal and the corresponding target numbers.

This spreadsheet includes three worksheets: 1) Files Created\*, 2) Materials Digitized\*, and 3) Other Accomplishments (optional). Grantees are expected to update this spreadsheet with the progress made in the given reporting period and can explain any information provided on the spreadsheet in the narrative section of their report. Additional instructions are contained within the file.

### **DIGITIZATION COST CALCULATOR—Nikki**

In this section, you will also find a space for optional data contribution to the [Digitization Cost Calculator](#). This is a project by the [Digital Library Federation Assessment Interest Group's working group on Cost Assessment](#). The calculator is a tool that runs on community-contributed data and provides estimates of time and cost to those planning digitization projects.

Hidden Collections grant recipients have been invited to contribute data from their projects to help make the calculator more robust and reliable. If you are interested in contributing, you can let us know on your reporting form and we'll share your information with Joyce Chapman, who works on the calculator and may follow-up with you. You can also connect with Joyce on your own if you'd like to learn more about the initiative or get started contributing data sooner. She can be reached at [Joyce.chapman@duke.edu](mailto:Joyce.chapman@duke.edu).

### **FINANCIAL ASSESSMENT—Nikki**

The next part of the Reporting Form that I want to touch on is The **Financial Assessment**, which comes in two parts.

The first is the **Financial Narrative**. In the Financial Narrative, you can comment on actual grant expenditures during the reporting period as they relate to your proposed budget. Every budget

category should be addressed here and, if there are any variances of 5% or more between projected and actual spending, make sure to include a detailed explanation here.

The second part is the **Financial Report**, which is an upload using the same budget and financial report form that you submitted with your proposal. The only difference is that you have *both* the Budgeted and Actual fields filled in this time, instead of just the budgeted column.

### **FINANCIAL REPORT FORM—Nikki**

And you can see an example of what this form looks like here.

### **FINAL PROJECT ASSESSMENT—Nikki**

When it comes time to submit your *final* report (as opposed to your interim report(s)), you will include a final project assessment, which has two components:

The first is the final project narrative: an overall assessment of your project, including the most significant outcomes and challenges, and the most valuable lessons learned.

The second component of your final project assessment is where you get to point us towards your digitized collections. What we're looking for is the names and URLs of the catalogs/repositories/services through which the digitized files and associated metadata have been made available. Currently, the plan is to ask for top or high-level links to the collections, rather than individual items. Though it's possible that we may eventually ask for a more specific accounting of the digitized files. This is an approach we are piloting with Recordings at Risk, another grant program at CLIR.

### **CLIR CONNECT –Joy**

The last part of our presentation covers communication.

In order to facilitate communication both between CLIR and recipients as well as among all recipients, CLIR has a closed, online discussion community where we occasionally share program updates and information for Hidden Collections grant recipients. Grant recipients are also able to share questions and updates for others to see. All project staff are welcome to join the community and can request access by filling out the form linked to under "Discussion Community" on our Recipient Resources page or contacting program staff at [hidencollections@clir.org](mailto:hidencollections@clir.org).

### **ADDITIONAL CHANNELS OF COMMUNICATION --Joy**

CLIR's website contains quite a lot of information for you as you move into your grant recipient role. Just as you may have used the resources of the Applicant Resources page during the grant writing process, we have a similar [Recipient Resources](#) page that we've talked about quite a lot today as you work through your project. Here, you will find information on grant modification and reporting that we discussed earlier. Additionally, contact information for the CLIR Grants Team, templates, and information on citing CLIR are all contained on this page.

From this page, you can also find links to our **Funded Project** page and the **Registry**, both of which may serve as resources for you as you implement your project.

On the [Funded Projects](#) page, you can find descriptions of each of the projects that have been funded by the Hidden Collections program to date. If you have not already done so, please proofread the summary of your project that's currently posted there and send us any proposed changes.

The [Hidden Collections Registry](#) is a public database with information about all of the collections that have been proposed for either cataloging or digitization through this program as well as the Recordings at Risk program. It is currently a work in progress, but we hope to update the site soon. One future enhancement is adding additional resources to the listed Funded Projects so we can share links to your publications, documentation, blogs, social media, and more.

The best way to contact us is through the [hiddencollections@clir.org](mailto:hiddencollections@clir.org) email box.

We also love to hear your progress reports. If you are sharing updates on Twitter, be sure to tag us using @CLIRHC or #DigHC so we can retweet your posts, amplifying the reach of your updates. If there is something you would like to tweet and don't have the resources to do that, just email us at [hiddencollections@clir.org](mailto:hiddencollections@clir.org)

Finally, one last resource we would like to share is the [Digitizing Special Formats Wiki](#). This is a project of the DLF and contains a growing collection of resources about planning and executing digitization projects. If there are additional resources you think would be helpful to include on the guide, email the editors at [DigiWiki@clir.org](mailto:DigiWiki@clir.org).

## **THANK YOU –Joy**

- Thank you all for joining us at our webinar today. We know that we've covered a lot of material.
- We do have some time left for questions. If you'd like to ask one please go ahead and type it into the chat box.

## **Q&A**

**Would it be helpful for you if I include images or video recordings highlighting work done? i.e. images of translators discussing digitized content, or me presenting at SAA?**

- Yes. That is the type of information that would be great to see in the additional information section of reports. None of it is required, but it may help us understand what you are trying to accomplish.

**How do you cite CLIR? Do we have communication guides? What are some of the rules about press releases?**

- There is information on citing CLIR on the [Recipient Resources](#) page.
- CLIR has published [Acknowledgment Guidelines](#) that can provide additional guidance to grant recipients on how to acknowledge CLIR.

- If you are making a formal press release that mentions CLIR, we do ask that you submit it to us first so we can review the content quickly to make sure you are representing the program correctly.

**Recipients sometimes have questions about holding funds in an interest bearing account.**

- If funds are not in an interest bearing account, we ask you to write us with the reasoning why.
- Report any interest earned on the grant funds in your normal reports.

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I'm not seeing any additional questions in our chat. Thank you all for joining us today. We'll be posting the recording and slides soon to our Recipient Resources page. In the meantime, if you think of any additional questions, you can always reach us at [hidencollections@clir.org](mailto:hidencollections@clir.org). We really look forward to working with you and hope you all have a great day.