**OSOS**

Office of the Secretary of State

Washington State Library

# Washington Rural Heritage
# 2016 Grant Guidelines

# GRANTS

INSTITUTE *of* **Museum**and**Library** SERVICES

This grant cycle is supported with Library Services and Technology Act funding provided by the federal Institute of Museum and Library Services.

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# 1.  Introduction

## Overview of the Project

The Washington Rural Heritage (WRH) initiative supports public and tribal libraries in the digitization of historically significant materials and makes these digital collections freely available online to patrons and the general public. Primary candidates are those institutions without the knowledge, resources, or technical infrastructure to digitize and provide such items online without outside support. The initiative encourages collaborative efforts between eligible public or tribal libraries and collaborative partners in the community (e.g., museums and historical societies, genealogy societies, schools, etc.).

The goals of Washington Rural Heritage competitive grant opportunities include:

A.  Develop and maintain the Washington Rural Heritage digital repository—an aggregate of digital collections from libraries and other institutions across the State of Washington. These collections are searchable from one system interface.

B.  Develop and maintain specifications and standards that each participating institution must follow to ensure consistency, quality, and adherence to widely accepted digital library standards.

C.  Build local capacity and sustainable digital programs at the local level by providing training to grant recipients in all of the primary activities of digitization.

D.  Encourage public or tribal libraries to take a coordinating role in creating digital community collections and archives.

E.   Provide digital preservation services to grant recipients, preserving the digital objects indefinitely.

## Overview of this Grant Cycle

The purpose of this grant cycle is to provide grant funds to public or tribal libraries to encourage the development of long-term, sustainable digitization programs through the creation of a digital collection published as part of the Washington Rural Heritage collection (http://www.washingtonruralheritage.org). Collaborative partnerships among libraries, museums, schools, and other community organizations are encouraged, though not required.

**It is not required that your library or staff members already have experience in digitization projects. Washington Rural Heritage staff will coordinate or provide training in:**

- **Developing and managing digital projects.**
- **Copyright issues for digital projects.**
- **Digital imaging.**
- **Metadata creation.**
- **The use of digital repository software.**

**If applicable, please show how your library will use grant or matching funds to gain training and experience needed for any specialized training specific to your project (e.g., digitization of audio/video, conducting oral history interviews).**

## 2. Library Eligibility

Public libraries or public library systems are eligible to submit applications for this grant cycle. Applicants are subject to Library Services and Technology Act (LSTA) eligibility. Public library systems may apply at the system level, or on behalf of individual branches within their system. Native American tribal libraries (as defined in Section 213 of LSTA) within Washington State are also eligible to submit applications for this grant cycle. You can review LSTA eligibility guidelines at:
http://www.sos.wa.gov/library/libraries/grants/eligibility.aspx.

The intent of the grant cycle is to help libraries establish sustainable digitization programs and workflows. Therefore, libraries that currently have an operational digitization program or functional digital repository/digital library system are not eligible to apply. Note: this does not apply to libraries already participating in Washington Rural Heritage.

The following limits shall apply to project applications:

A. One application per public library, public library system, or a single branch library within a system (separate branches of a library system may apply within the same grant cycle). An applying branch must provide signature or proof of authorization from system director or administration.

B. One application per tribal library. Applying tribal libraries must provide signature or proof of authorization from an authorized representative of the tribe.

C. While WSL encourages collaboration between an eligible library and another community organization(s), funds will only be distributed to and administered by the public library or tribal library.

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## 3. Project Eligibility

This grant cycle is open to applicants either new to, or already participating in, the Washington Rural Heritage initiative.

**Note**: Applicants who have not previously been involved with a Washington Rural Heritage grant award will receive an additional 10 points in this year's grant review process. WSL will also give priority consideration to libraries that exhibit a desire to sustain a digitization program and continue digital projects in their library beyond the initial 100 items required from this grant cycle.

All applications submitted must include a commitment to and plan for submitting at least one hundred (100) digitized and fully cataloged items to the Washington Rural Heritage collection at the State Library by the end of the grant cycle (August 18, 2017). One cataloged resource (e.g., multipage document, two-sided postcard, photograph, etc.) is counted as one item. Books are technically considered one item, but may be counted as one item per each ten [10] pages due to the extra time taken to scan the material. Complex, multi-part digital objects may justify an exception to this rule; in such cases, a method of determining item count must be agreed upon with the WRH project manager, as listed in #11 at the end of the document. While a minimum of 100 items must be digitized in order to meet grant requirements, awards may be used to fund the digitization of additional items.

**Note:** Projects proposing digitization in excess of 100 items will not receive preferential consideration. Items submitted must follow the digitization specifications and metadata best practices outlined by the Washington

Rural Heritage initiative (see Section 9)**.** Items will be acquired and served online using CONTENTdm software licensed to and paid for by the Washington State Library (WSL).

Applicants must consider copyright issues with the projects they develop in conjunction with their grant application. The WSL will leave all copyright research and assumption of liability to participating institutions. Upon award of grant, the lead library must sign a contract granting the WSL permission to publish the items online (contract sample available upon request). This may require a memorandum of agreement with collaborative partners so the library has the authority to grant publication permission.

While material being digitized does not need to originate in the collection of the applying library, applicants partnering with other organizations must take the lead role in coordinating and monitoring grant activities. Additionally, libraries (i.e., library staff, contractors, and volunteers) should demonstrate how they will participate in, or contribute to, one or more primary activities of the project (e.g., selection and copyright research, imaging, cataloging, etc.).

Libraries may use funds to purchase equipment to:

- Digitize material (e.g., scanners) (see Section 9), or software to optimize digital files (e.g., Photoshop Elements).
- Train staff and volunteers to digitize and catalog (i.e., create metadata for) digitized items.
- Research and catalog items.
- Pay salary of staff and contract services to digitize, research, and catalog items.
- Provide outreach to promote digitization activities and completed digital collections.

**Note:** Grant funds are to be used for full digitization of primary and secondary sources from start (e.g., selection, scanning, etc.) to finish (e.g., cataloging, promotion); they may not be used to complete a backlog of metadata creation/cataloging from previous digitization projects or for legacy digital collections.

**Note:** if your library already has scanning or other digital imaging equipment, it is still important that you check the specification sheet to make sure your existing equipment can produce images that follow the digitization specifications (see Section 9)**.**

Grant funding *may not* be used to purchase materials to be digitized, **computers**, food and refreshments, advertising and promotion of libraries in general, prizes and other incentives, or digitization equipment that does not meet the minimum requirements outlined in Section 7.

Funds can pay staff salaries and benefits, and contract services for project activities. However, since grant funds cannot take the place of previously budgeted local funding, regularly scheduled staff hours are not eligible for reimbursement. Backfill, overtime, and temporary or contracted project employees are eligible for reimbursement. Detailed timesheets are required when claiming reimbursement.

For more guidance, see the "Allowable Costs" section of WSL's Grant Management Information page: http://www.sos.wa.gov/library/libraries/grants/grantees.aspx.

## 4. Funding Available

Overall funding to support this grant cycle is $25,000. This grant cycle has a limit of $5,000 per application. We anticipate that five (5) or more applicants may receive awards. Awards are contingent upon receipt of federal funds and distribution of those funds by the Washington State Library, a division of the Office of the Secretary of State.

## 5. Timeframe

We created the following sample timeline to provide information about this grant cycle and to assist applicants devise appropriate projects and applications.

**Tentative Dates**

- **Tuesday, March 1, 2016** — Tentative date grant cycle opens

- **Wednesday, May 25, 2016** — Application deadline; applications postmarked (by USPS, UPS, FedEx, etc.) or delivered *after* this date will not be accepted

- **June 1 – June 30, 2016** — Application review by committee

- **July 1 – July 8, 2016** —The Secretary of State and the State Librarian review and approve committee's recommendations

- **July 11 – July 15, 2015** — Anticipated timeline for grant award announcement; all applicants notified  by letter, and contract development begins

- **August 31, 2016** — Anticipated date that all contracts are fully executed and that project implementation can begin

- **Project period** — From date contract fully executed through Friday, August 18, 2017

- **Friday, August 18, 2017** — Date project activity must end; at least 100 items and their accompanying metadata must be submitted to the Washington Rural Heritage project manager

- **Friday, September 29, 2017** — Final Narrative Report and final reimbursement claim due

## 6. Application Process

A. Review the grant cycle materials at http://www.sos.wa.gov/library/libraries/grants/grants.aspx. The grant cycle opens on **Tuesday, March1, 2016.**

   An announcement of the grant cycle is sent via e-mail to public and tribal libraries, (various email lists including WSL Updates, previous Washington Rural Heritage project managers, and Washington Library Association) and to those who have requested to be notified of this grant cycle.

   Application guidelines, forms, and other materials are available at the WSL Web site. You can print or download the Word or PDF files. Alternatively, you can contact the LSTA Grants Manger for materials if you wish. (See contact information at the end of these guidelines.)

B. Review the criteria contained within the application to determine eligibility to apply.

C. Complete the application form; reply to **all** questions. Secure all required signatures.

D. Respond to the criteria, checking either 'yes' or 'no' for each item.

E. The LSTA Grants Manager can answer general questions regarding the application process.. Staffing limitations preclude review and comment on draft applications. However, WRH staff is available by phone or email to answer questions from potential applicants. Staff can help determine if they should proceed with or adjust their proposal or budget before they expend the resources necessary to fully plan the project and prepare a full grant application. Contact information is in Section 11.

F. Submit applications to the Washington State Library **postmarked by Wednesday, May 25, 2016 or hand delivered** by **4:00 p.m. on Wednesday, May 25, 2016**. Faxed applications are **NOT** acceptable for this funding request.

   ***An application consists of two components:***

   1. A single-sided, signed original of the official 2016 WRH application, clearly identified as the original;

   2. An electronic copy in Word or rich text format sent as an email attachment to WSLgrants@sos.wa.gov  (signatures are not required on the electronic copy).

   Submit application materials to:

   | *By Mail* | *By Hand or Delivered* |
   |---|---|
   | **LSTA Grants Program** | **LSTA Grants Program** |
   | **Washington State Library** | **Washington State Library** |
   | **PO Box 42460** | **6880 Capitol Blvd SE** |
   | **Olympia, WA 98504-2460** | **Tumwater, WA 98501-5513** |

G. A review committee selected by WSL will review the applications for eligibility and scoring if eligible requests exceed available funding. The review committee will forward recommendations to the State Librarian and the Secretary of State for final consideration and approval.  WSL may contact the applicant for clarification of information.

H. After determining sub-recipient awards, WSL sends a letter of notification to all applicants. WSL makes contracts with libraries receiving awards. WSL *cannot* reimburse expenses incurred before the contract is fully executed (signed by both the Office of the Secretary of State (Washington State Library) and the award recipient). Costs incurred prior to contract execution are not reimbursable.

I. WSL will hold the final twenty percent (20%) of the award amount until all contract conditions have been satisfied. If you do not submit 100 items to the Washington Rural Heritage project by August 18, 2017, WSL will not reimburse that amount.

## 7.  Requirements

A. Libraries are sometimes granted funds contingent upon fulfilling one or more requirements prior to project implementation. Libraries must meet those contingencies prior to contract execution.

B. Libraries must expend local money first and then claim reimbursement. WSL will not distribute funds in advance of activities and purchases taking place. WSL only reimburses eligible and allowable expenses as documented by your library.

C. Funds requested for the proposed project must not take the place of previously budgeted local funding.

D. The purchase of any equipment that costs over $5,000, made in whole or in part with grant funding, requires prior written approval from WSL. Purchases made in advance of receiving written approval are not reimbursable.

E. WSL will monitor Items included under "Other Funding" and used as match or in-kind contributions. WSL requires documentation for these expenses.

F.  Applicants must commit to compliance with grant administration requirements. The lead applicant library must also act as fiscal agent for awarded contracts.

G.  Quarterly Reports showing project progress and a Final Report providing a complete summary of the project and of all grant activities will be submitted to WSL according to the schedule provided in the contract document.

H.  You must send reimbursement claims on forms provided by WSL according to the schedule provided in the contract document. You must provide documentation of expenses.

I.  Children's Internet Protection Act (CIPA):
    Because grant funds in this grant cycle may not be used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet, submission of a CIPA form is **not required**.

J.  The Washington State Library and the Institute of Museum and Library Services (IMLS) must be acknowledged as providing LSTA funding to support the project in all project-related public events, press releases, printed materials, and Web sites.

K.  All projects and activities must be completed and funds expended by August 18, 2017 Applicants proposing projects that will use LSTA grant funding beyond August 18, 2017, will not be considered for this grant cycle.

## 8.  Assurances

The Washington State Library and the Sub-Grantee agree that all activity pursuant to a Grant Agreement will be in accordance with all applicable, current, or future federal, state, and local laws, rules, and regulations.  Specifically, this includes laws, rules, and regulations such as:

A.  45 Code of Federal Regulations (CFR) Part 1168, New Restrictions on Lobbying;

B.  45 Code of Federal Regulations (CFR) Part 1180.44, Nondiscrimination;

C.  Code of Federal Regulations (CFR)

Title 2 → Subtitle A → Chapter I →

    Government Wide Requirements for Drug-Free Workplace (Grants) (Part 182).

    Government Wide Debarment and Suspension (Nonprocurement), (Part 180).

    Trafficking in Persons (Part 175).

**Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200**

This new guidance can be inspected by accessing the following URLs:

2 CFR Part 200

In particular, see:

Subpart A—ACRONYMS AND DEFINITIONS

Subpart D—POST FEDERAL AWARD REQUIREMENTS establishes standards for Federal awards carried out through grants, cost reimbursement contracts, and other agreements.

Subpart E—COST PRINCIPLES establishes principles for determining costs applicable to grants, contracts, and other agreements.

Subpart F—AUDIT REQUIREMENTS / 200.501 Audit requirements: sets forth standards for obtaining consistency and uniformity among federal agencies for the audit of states, local governments, and non-profit organizations expending federal awards.

## Code of Federal Regulations (CFR)

The CFRs can be inspected by accessing the following URL for the Electronic Code of Federal Regulations:
http://www.ecfr.gov/cgi-bin/text-idx?SID=f9355837f3ee3eb17b11fb3c868b5e1a&mc=true&tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl .

The Code of Federal Regulations 45 CFR Part 1185 provides that an individual, corporation, unit of government or other entity that is debarred or suspended shall be excluded from Federal financial or non-financial assistance and benefits under Federal programs and activities.


## Other Requirements:

If the Sub-Grantee includes a construction component as part of the overall project even if this component is not funded by federal funds, the following shall also apply and includes laws, rules, and regulations that are the provisions of 45 CFR 1183.36(i); including but not limited to:

A. Section 306 of the Clean Air Act (42 U.S.C. 1857(h)), and section 508 of the Clean Water Act (33 U.S.C. part 15). Note: Applies to contracts, subcontracts, and sub-grants of amounts in excess of $100,000.

B. Mandatory standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (Pub. L. 94-163).

C. Compliance with the Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR part 3).  Note: Applies to all contracts, grants, and sub-grants for construction or repair.

D. Compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) as supplemented by Department of Labor regulations (29 CFR part 5).  Note:  Applies to construction contracts in excess of $2,000 awarded grantees and sub-grantees when required by Federal Grant Program legislation.

E. Compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR part 5).  Note:  Applies to construction contracts awarded grantees and sub-grantees in excess of $2,000, and in excess of $2,500 for other contracts which involve employment of mechanics or laborers.

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## 9. Additional Information

Reference to any specific commercial products, process, or service by trade name, trademark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by the Washington State Library (WSL).

### Equipment Specification Sheet

For many projects, a quality, color flatbed or film scanner along with image optimization software (e.g., Adobe Photoshop) is needed to produce, optimize, and submit high quality image files for most material types. A high-end digital camera or overhead scanner is necessary for projects that aim to digitize large-format items, a high volume of books, or three dimensional (3-D) objects. Such a system can cost upward of $20,000.The 2016 Washington Rural Heritage grant cycle could supplement the cost of such a system. If your project requires such a system, consider your options carefully. You may also contract out this work, find matching local funds, or select material that does not require such specialized equipment.

Unless you have a lot of audio or video that needs to be digitized (beyond the 100 items required for this project), we suggest you outsource the digitization of audio or video.

As always, the equipment you need for your project will depend upon the format, size, and type of the items you plan to digitize. Please consult the digitization specifications requirement table below for some general item types and recommended resolution parameters.

### Flatbed scanner minimum specifications:

**Capture Software:** Must give the operator the control to set white and black points and turn off automatic sharpening. You may also consider purchasing software, such as Adobe Photoshop or Adobe Photoshop Elements, used to optimize the images for printing and Web publication.

**Optical Resolution:** Minimum of 2400 pixels per inch (ppi) optical resolution uninterpolated. However, consider buying a scanner with the highest optical resolution you can afford. 2400 ppi is enough to cover most text, photo and some film sizes but is on the low side as far as optical resolution is concerned.

**Size:** This depends upon what you plan on scanning but again consider buying a scanner with the largest scan size you can afford. You'll want to leave at least a quarter of an inch around the original during capture (more if you plan to use a color bar). Most flatbed scanners offer bed sizes between 8" x 12" and 12" x 17".

**Bit Depth**: Equipment should be able to capture at least 1 bit (black and white), 16-bit (grayscale), and 48-bit (color). Most flatbed scanners can capture 36 to 48-bit or higher.

**Dynamic Range:** Dmax (maximum value of Density) of 3.5 as a minimum. Again, consider buying a scanner with the highest dynamic range you can afford.

**Transparency Adapter:** If your project includes transmitted light materials (e.g., film, glass plate negatives, or slide positives) you'll need a transparency adapter (i.e., back-lit lid or film tray). If there is a lot of film you may consider a film scanner.

As a frame of reference, scanners used by Washington Rural Heritage staff include the Epson Perfection V750-M PRO and the Epson Expression 11000XL.

### Digitization Recommendations and Minimum Requirements

Digital imaging for Washington Rural Heritage is based on Federal Agencies Digitization Guidelines Initiative's *Technical Guidelines for Digitizing Cultural Heritage Materials*, which can be accessed at http://www.digitizationguidelines.gov/guidelines/digitize-technical.html. These guidelines are generally reiterated in Association for Library Collections & Technical Services' (ALCTS) *Minimum Digitization Capture Recommendations,* which can be accessed at: http://www.ala.org/alcts/resources/preserv/minimum-digitization-capture-recommendations. Please submit tagged image file format (.tiff) master files and optimized

full-resolution Joint Photographic Experts Group (.jpeg) files to WRH staff on an external hard drive or digital versatile disc (DVD).

Audio digitization requirements follow the Colorado Digitization Program (CDP) Digital Audio Best Practices Version 2.1, https://www.lyrasis.org/LYRASIS%20Digital/Pages/Preservation%20Services/Resources%20and%20Publicati ons/Digital%20Toolbox/Best-Practices.aspx. Please submit WAV master files and edited mp3s to WRH staff on external hard drive or DVD.

**Below is a simplified table for your reference.**

| Format type | Recommended parameters | Minimum parameters |
|---|---|---|
| Audio | Sample rate: 44.1 kHz<br>Bit depth: 24 bits | Sample rate: 44.1 kHz<br>Bit depth: 16 bits |
| Textual documents (including black and white text, graphic illustrations, artwork originals, maps, plans, other oversized documents) | 4000-6000 pixels across the long edge (e.g., a clean, high contrast 8.5 x 11" document would need to be scanned at 400 – 600 ppi) | 3000 pixels across the long edge (e.g., a clean, high contrast 8.5 x 11" document would need to be scanned 300 ppi) |
| Photo Negatives<br>• small negatives (35 mm and up to 4"x5")<br><br>• 4"x5" and up to 8"x10"<br>• 8"x10" and up | • 4000 pixels across the long edge (e.g., 35 mm would need to be scanned at approx 2800 ppi)<br>• 6000 ppi<br>• 8000 ppi | 3000 pixels across the long edge (e.g., 35 mm would need to be scanned at approx 2100 ppi) |
| Photographic prints<br>• Up to 8"x10"<br><br>• 8"x10" to 11"x14"<br>• 11"x14" and up | • 4000 pixels across the long edge (e.g., 3.5x5" would be scanned at 800 ppi)<br>• 6000 ppi<br>• 8000 ppi | 3000 pixels across the long edge (e.g., 3.5x5" would be scanned at 600 ppi) |
| Objects and artifacts<br>• 35 mm equiv<br><br><br><br>• medium format equiv<br><br><br><br>• large format equiv | • pixel array of 4,500 pixels by 3,100 pixels (14 megapixels, equivalent to 300 ppi at 15" by 10.3").<br>• Pixel array of 5,200 pixels by 4,200 pixels (22 megapixels, equivalent to 300 ppi at 17.3" by 14")<br>• Pixel array up to 16,000 pixels by 12,500 pixels (200 megapixels, equivalent to 300 ppi at 53.3" by 41.7") | • pixel array of 3,000 pixels by 2,000 pixels (6 megapixels, equivalent to 300 ppi at 10" by 6.7")<br>• pixel array of 4,000 pixels by 3,000 pixels (12 megapixels, equivalent to 300 ppi at 13.3" by 10")<br>• pixel array of 4,800 pixels by 3,700 pixels (18 megapixels, equivalent to 300 ppi at 16" by 12.5") |

Note: To determine scanning resolution, divide the recommended pixels per inch (ppi) parameter by the number of inches across the long edge of the item being scanned. For example: Divide 6000 ppi by 10 in. for an 8 x 10 in. photographic print. This means the photo should be scanned at 600 ppi. For those items that do not divide evenly, round up and scan at the next highest ppi setting on your scanner.

**Metadata Guidelines Table**

Below are the general metadata elements required by Washington Rural Heritage. These elements are available in the CONTENTdm system. This information *mostly* follows OCLC's *Best Practices for CONTENTdm and other OAI-PMH compliant repositories: creating shareable metadata*, Version 3.1, http://www.oclc.org/content/dam/support/wcdigitalcollectiongateway/MetadataBestPractices.pdf.  Exceptions and local implementations are shown below and documented in the Washington Rural Heritage Metadata Supplement.

| Metadata elements | Mandatory | Format or controlled vocabulary |
|---|---|---|
| Resource identifier | Yes | Consult WRH local documentation |
| Title | Yes | Consult WRH local documentation |
| Title (alternative) | No | Consult WRH local documentation |
| Creator | Yes (if known) | Library of Congress (LOC) authority; consult WRH local documentation |
| Creator note | No | Consult WRH local documentation |
| Contributor | No | LOC authority; consult WRH local documentation |
| Description | Yes | Consult WRH local documentation |
| Names | No | LOC authority; consult WRH local documentation |
| Location (TGN) | Yes | Getty Thesaurus of Geographic Names |
| Location (coordinates) | No | Consult WRH local documentation |
| Date | Yes (if known) | YYYY-MM-DD; consult WRH local documentation |
| Date (W3CDTF) | Yes (if known) | YYYY-MM-DD; consult WRH local documentation |
| Decade | Yes (if known) | WRH controlled vocabulary |
| Subject (LCTGM) | Yes | Library of Congress Thesaurus for Graphic Materials (LCTGM) |
| Topic | Yes | WRH controlled vocabulary |
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| Physical Format (AAT) | Yes | Getty Art & Architecture Thesaurus |
| Publisher (original) | No | Consult WRH local documentation |
| Language (iso code) | No | International Organization for Standardization (ISO)-639-2 |
| Related item(s) | No | Consult WRH local documentation |
| Contributing Institution | Yes | Consult WRH local documentation |
| Digitization Project Partners | No | Consult WRH local documentation |
| Digital Repository | Yes | *Washington Rural Heritage* |
| Collection | Yes | Consult WRH local documentation |
| Source item specifications | Yes | Consult WRH local documentation |
| Rights and use | Yes | Uniform resource locator (URL) |
| Publication status | Yes | Consult WRH local documentation |
| Copyright status | Yes | Recommendations for Standardized International Rights Statements, http://rightsstatements.org/ |
| Notes regarding copyright status | No | Consult WRH local documentation |
| Year enters public domain | No | Consult WRH local documentation |
| Private contributor | No | Consult WRH local documentation |

| | | |
|---|---|---|
| Publisher (digital) | Yes | *Washington State Library* |
| | | |
| | | |
| Date (digital) | Yes | YYYY-MM-DD; entered by WRH staff |
| | | |
| Type (DCMI) | Yes | Dublin Core Metadata Initiative (DCMI) Type vocabulary |
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| | | |
| Access file requires | No | Consult WRH local documentation |
| Access file format | Yes | Internet Assigned Numbers Authority: Internet Media Type terms |
| | | |
| Access file specifications | No | Entered by WRH staff |
| Digitization Specifications | Yes | Entered by WRH staff |
| | | |
| | | |
| Archival file location (AIP) | Yes | Entered by WRH staff |
| Archival file name | Yes | Entered by WRH staff |
| Access file name | Yes | Entered by WRH staff |
| Notes | No | Consult WRH local documentation |
| | | |
| | | |
| | | |
| Project | Yes | Consult WRH local documentation |
| | | |
| Transcript | No | Full-text of item (typed or optical character recognition [OCR] output) |

## Sample Work Plan

The following sample work plan has been provided to assist applicants who may be new to digitization projects and not familiar with primary activities involved or reasonable completion periods for a typical year-long project. Your work plan may include additional activities, more or fewer persons responsible, and may depart from this timeline based on local plans for your specific project.

| Activity | Expected Start Date | Expected Completion Date | Person(s) Responsible |
|---|---|---|---|
| Identify and perform preliminary selection of materials for digitization. | September 2016 | October  2016 | Jane Smith, Community Librarian, Joe Brown, Museum Curator |
| Purchase equipment and supplies (scanner, external hard drive, etc.) | September 2016 | November 2016 | Jane Smith |
| Vet copyright on selected materials: document research, obtain necessary permissions, etc. | October 2016 | December 2016/ongoing | Jane Smith |
| Train project staff on imaging equipment: scanning procedures and workflow. | December 2016 | December 2016 | Jane Smith |
| Write and submit first quarterly report, and submit reimbursement claim. | January 2017 | January 2017 | Jane Smith |
| Scan selected materials. | January 2017 | March 2017 | Jane Smith, project staff (tbd) |
| Perform image editing and optimization for web display. | March 2017 | March 2017 | Jane Smith, project staff |
| Work with WRH staff to load images to CONTENTdm Project Client software. | April 2017 | April 2017 | Jane Smith, project staff |
| Write and submit second quarterly report, and submit reimbursement claim. | April 2017 | April 2017 | Jane Smith |
| Catalog materials using CONTENTdm Project Client | April 2017 | July 2017 | Joe Brown, project staff, local volunteers |
| Write and submit third quarterly report, and submit reimbursement claim. | June 2017 | July 2017 | Jane Smith |
| Plan and work on promotional materials and events. | July 2017 | August 2017 | Jane Smith, library management & communications |
| Upload cataloged items to WSL server. Perform edits and corrections. | July 2017 | August 18, 2017 | Project staff |
| Project ends; all activities cease. |  | August 18, 2017 | All project staff |
| Write final narrative report [time not eligible for grant funding] and submit final reimbursement claim. | August 2017 | September 29, 2017 | Jane Smith |

## 10. Frequently Asked Questions

### Grant Application & Eligibility

1. *We have a question about the grant or the grant application.*
   If you cannot find the answer to your question in the Grant Application Guidelines, please contact Evan Robb (evan.robb@sos.wa.gov), (360) 704-5228; or Maura Walsh (maura.walsh@sos.wa.gov), (360) 704-5246.

2. *What is the main purpose for the Washington Rural Heritage Grants?*
   To provide grant funds to public and tribal libraries to encourage the development of long-term, sustainable digitization programs through the creation of digital collections published as part of www.washingtonruralheritage.org.

3. *We previously received a Washington Rural Heritage grant award. May we apply again?*
   Yes, you may apply again. Applicants who have not previously been involved with a Washington Rural Heritage grant award as either a lead applicant or a partner will receive 10 additional points in this year's grant review process.

4. *What types of digitized materials are suitable for a Washington Rural Heritage collection?*
   Some of the typical items already contributed to Washington Rural Heritage include old photos, postcards, scrapbooks, diaries, maps, ephemera, short audio and video clips, and three-dimensional objects. Washington Rural Heritage collections should:

   - Specifically reflect cultural and historical aspects of Washington State.

   - Tell the "story" of their community.

   - Benefit their institutions and communities as digitized resources due to improved preservation and access.

   While the term "rural" can be variously defined, the scope of the Washington Rural Heritage collection is centered around

   - Native peoples.

   - Pioneering and homesteading.

   - Agriculture (farming, animal husbandry, etc.).

   - Natural resource industries (fishing, timber extraction, mining, etc.).

   - Industrial development of rural areas (railroad building, dam and bridge construction, irrigation projects, etc.).

   - Recreation in rural settings (hunting and fishing, etc.).

   - Early town life in small rural communities.

   - Founding/significant figures and families of small, rural communities.

   - Significant architectural and geographic features of small, rural communities.

5. *Can we use grant funds to purchase original historic documents, photos, or other materials for digitization?*

No. However, you may purchase items using other funding and then digitize them with WRH funding.

### 6. *Can we use grant funds to digitize or create new materials and resources?*

Yes. However, the primary focus of this initiative is to digitize original, existing primary source documents or resources.  For example, original photographic prints and paper documents should always be digitized rather than reprints or copies. Recently created or contemporary documents may be suitable if they: 1) do not constitute the bulk of a proposed collection; and 2) add context to older material in the same collection (e.g., demonstrate the progression of an agricultural process; document a historic structure over time, etc.)

Creation of new documents or resources (e.g., interviews, oral history recordings) is an allowable grant activity. These materials or resources should complement original materials, and should not constitute the bulk of a proposed project.

Note: Additional training and equipment may be required to create new resources successfully, such as oral histories. Your grant application should adequately describe how you plan to address these requirements. If your library would like to collect or create new materials for inclusion in the Washington Rural Heritage collection, please contact Evan Robb at evan.robb@sos.wa.gov or 360.704-5228.

### 7. *Why is this grant titled for 2016?*

WSL is using funds from the federal fiscal year 2016 LSTA funding.

### 8. *Do libraries have to partner with another institution?*

No. However, libraries that have partnered with local heritage organizations for the project report that their final digital collections provide a broader, more comprehensive view of community history.

### 9. *Can a museum or other organization from the community take the lead in the project or apply without a library partnership?*

No. An eligible public or tribal library must be the contracting authority and fiscal agent, and WSL will only reimburse the library's expenses.  For definitions of library eligibility, please see the "Applying for a Grant" page on the Washington State Library website:
http://www.sos.wa.gov/library/libraries/grants/applicants.aspx

### 10. *Does this mean that the public or tribal library can simply act as contracting authority and fiscal agent?*

No. The library must take a lead in the coordination and monitoring of the project. Additionally, the library must be active in one or more activities that are primary in the completion of the project (e.g., selection and copyright research, imaging, cataloging, etc.). However, it is possible that a partnering organization or contractor performs a significant portion of the work.

One of the goals of this project is to create long-term sustainable digitization programs within the library. The library staff should be actively involved in the project to build capacity so they have sufficient knowledge and skills to continue the project over time.

### 11. *Is Children's Internet Protection Act (CIPA) compliance required to apply for this grant?*

No. CIPA compliance is required only if LSTA funds are to be used to purchase computers to access the Internet or pay for the direct costs of accessing the Internet. Washington Rural Heritage grant funds cannot be used for computers or other technology used to access the Internet, or pay for access to the Internet.

### 12. *Washington Rural Heritage project staff is planning or has performed onsite digitization at our institution. Are we eligible for a separate grant?*

Yes. Whether your library is already working with the State Library and submitting items to the Washington Rural Heritage collection does not affect project eligibility for a 2016 sub-grant. However, this grant must be applied to the digitization of items not previously digitized.

### 13. *How do we determine if digitization and publication of items online violates copyright?*

It is the responsibility of the participating library and organizations to research and document the copyright status of the items they plan to digitize. Washington State Library staff provide WRH sub-grantees with an annual workshop focusing on copyright issues for digitization projects. Items submitted to the Washington Rural Heritage collection cannot violate copyright.

### 14. *Do we have to sign over copyright to the State Library if I have items in the Washington Rural Heritage collection?*

No. Copyright will stay with the creator or owner. However, the contracting library must grant permission by contract for WSL to publish the items online. In turn, your library may need to obtain such permissions from creators or owning organizations. We can provide a sample contract upon request.

### 15. *Does the lead library have to sign a contract with the State Library?*

Yes. In order to ensure proper rights and permissions, the lead library will have to sign a contract with the State Library granting permission to digitally publish and preserve items. This may mean the library needs to first gain permission from copyright owners and owning institutions.

### 16. *Do our collaborative partners have to sign a "Letter of Agreement"?*

No. However, the State Library strongly encourages a "Letter of Agreement" (LOA) or other contractual document be signed between the collaborative partners. WSL can provide a template LOA upon request. You can customize this document to fit the needs of all collaborative partners.

## Project Administration & Management

### 17. *Who is the Project Manager and what are their responsibilities?*

The Project Manager coordinates the activities and communication between the State Library, other members of the grant project, and the grant project's fiscal agent. As the Project Manager is the primary person the State Library will contact, there should be only one Project Manager identified as such on the application. This person is responsible for the preparation and submission of quarterly and final reports, communicating deadlines and other tasks to collaborative partners, and for the work completion. The Project Manager is also responsible for notifying the State Library of any changes to their contracting authority, fiscal agent, or their own position as Project Manager.

### 18. *Who is the Contracting Authority?*

The Contracting Authority is the person who has the authority to bind his or her library to a legal contract. In public libraries, library districts and systems, it may be a local government department head or the library/system director. In tribal libraries, it may be another individual.

### 19. *What is the lead library and what are their responsibilities?*

The lead library is an eligible public or tribal library with contracting authority. The library's fiscal agent administers fund reimbursement. The lead library will submit the grant application on behalf of the collaborative group and is responsible to make sure this work is finished and submitted.

### 20. *Who are the collaborative partners and what are they responsible for?*

This is up to your library and the collaborative group. It is possible that the majority of the work (selection, metadata, and copyright research) be performed by your partner(s). However, it is the responsibility of the lead library to make sure this work is finished and submitted. The State Library encourages collaborative partners sign a "Letter of Agreement" or other type of contractual document.

### 21. *What are the responsibilities of the Fiscal Agent?*

The Fiscal Agent is the person who pays the bills and maintains the financial records for the lead library with which we will establish a contract. That person may be termed the business manager, the accountant, or something else. The fiscal agent must be from the same organization as the Contracting Authority. Foundations cannot act as fiscal agent.

**22. *Our library district requires us to furnish it with a Catalog of Federal Domestic Assistance number (CFDA #) whenever we apply for a grant. What is the CFDA # for this grant?***
The CFDA # is 45.310 (for the State Library program, Office of Library Services, Institute of Museum and Library Services, National Foundation on the Arts and the Humanities).

**23. *We would like to be reimbursed for our indirect, administrative, and overhead costs. Are these costs eligible for reimbursement?***
New federal regulations allow reimbursement of indirect costs at a previously negotiated rate. Please refer to www.imls.gov/applicants/indirect_cost.apsx if your entity does not have a negotiated rate or for more information.

**24. *We would like to offer prizes or incentives to our patrons. Is that allowable?***
Prizes and incentives are not allowable costs. See OMB Code of Federal Regulations:
www.ecfr.gov/cgi-bin/text-idx?SID=3a3f21216554fd54f9be9d89a0cf33b6&node=se2.1.200_1421
However, educational items, such as bookmarks which specifically support the project are allowable costs. One solution is to seek out other funding sources for prizes and incentives, such as local businesses, library friends groups, or foundations.

**25. *We would like to offer food or refreshments at our events. Is that allowable?***
Food or refreshments are not allowable costs. See OMB Code of Federal Regulations:
www.ecfr.gov/cgi-bin/text-idx?SID=3a3f21216554fd54f9be9d89a0cf33b6&node=se2.1.200_1438
One solution is to seek out other funding sources for prizes and incentives, such as local businesses, library friends groups, or foundations.

**26. *If we receive a sub-grant, when may we start spending the grant money?***
Once the contract is fully executed (signed by both parties), costs can be incurred. Libraries must expend local money first and then claim reimbursement. WSL does not distribute funds in advance of activities and purchases. WSL reimburses documented eligible and allowable expenses. Please note: costs incurred prior to contract execution are not reimbursable.

**27. *When will our contract be signed and in place?***
Once WSL announces the awards, expect that contract establishment will take several weeks to develop, route for review, and obtain signatures needed for contract execution. WSL will notify the Project Manager by email when the contract has been fully executed and costs can be incurred.

# 11.  Contact Information

- Web site for grant information: http://www.sos.wa.gov/library/libraries/grants/grants.aspx

- Evan Robb, Project Manager – Washington Rural Heritage, 360.704.5228, evan.robb@sos.wa.gov

- Maura Walsh, LSTA Grants Manager, 360.704.5246, maura.walsh@sos.wa.gov