



Office of the Secretary of State

Washington State Library

Metadata Enhancement & Remediation Grants Pilot Project 2016 Grant Guidelines

GRANTS



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1. Introduction

Overview of the Project

The Washington State Library (WSL) is initiating a metadata remediation and enhancement project. We will offer grants to support public, academic, and tribal libraries in remediating, re-cataloging, and/or enhancing digital collection records currently available to the public through digital library and digital repository systems. “Digital collections” typically include digitized special collections (e.g., manuscripts, maps, visual materials), publications, or archival records. They may also include born-digital materials such as those typically accessed through institutional repositories and open-access publishing platforms.

The primary purpose of this grant is to help institutions prepare for the eventual harvest of collection metadata by a regional or state-level Digital Public Library of America (DPLA) service hub. The DPLA is a federated search portal that aggregates records from the digital collections of America’s galleries, libraries, archives, and museums. The portal greatly improves discoverability of materials held at disparate institutions and acts as a platform for innovative uses of digital content. Data is contributed to the DPLA by way of standalone or multi-institutional “[service hubs](#)” working with, and harvesting, the records of institutions in specific states or regions. Although Washington State does not currently have a DPLA service hub, a number of institutions in the Pacific Northwest region are actively pursuing creation of one or more hubs.

Overview of this Grant Cycle

This grant cycle will provide grant funds to libraries to help them ready their materials to meet DPLA requirements. The [DPLA Metadata Application Profile](#) (DPLA Map) specifies DPLA requirements and recommendations, especially for the “SourceResource” class. SEE Section 9 for more details on recommended and required metadata elements. For this grant cycle, particular emphasis will be placed on the “Rights” property. Awarded sub-grantees are asked to assign a discrete copyright label to digital objects, corresponding to those outlined in [Recommendations for Standardized International Rights Statements](#). These rights statements (“labels”) were established by a working group coordinated by the DPLA and Europeana.

Grant recipients will also be directed to review the Orbis Cascade Alliance’s Dublin Core Best Practices Guidelines (draft currently in review) for assistance with metadata creation. These guidelines primarily offer guidance on the mapping of digital collection data to Dublin Core, and on the output of that data in OAI-PMH compliant format. The guidelines aim for consistency across multiple institutions and are not necessarily prescriptive in regards to local metadata practices.

Goals of the grant cycle include:

1. Participants will have cataloged, remediated, and/or enhanced the metadata for a minimum of one complete digital collection equivalent to one “set” harvestable through an OAI-PMH service. Note: the specific approach (e.g., manual vs. automated), and amount of time and effort required to bring any given data set in line with minimum DPLA requirements may vary greatly, and is determined by numerous factors. Those applicants seeking to go beyond the minimum or “required” elements of the DPLA MAP by providing data corresponding to most or all “recommended” (when applicable) properties/elements will receive priority consideration for a grant award.
2. Participants will acquire a basic understanding of the DPLA Metadata Application Profile. They will understand how their grant activities contribute to data quality at the service hub level and enhancement activities by the DPLA.
3. Participants will learn to evaluate, vet, and document the copyright status of digitized works. They will make informed assignments of discrete copyright labels/statements.
4. Participants will apply best practices for spatial and temporal data (i.e., place names and dates).

Pre- and post-grant project surveys will evaluate individual participants' change in knowledge, skills, and abilities.

Washington State Library staff will support grant activities by:

1. Working with awardees to develop a localized metadata remediation plan and/or providing initial consultation regarding existing metadata quality.
2. Coordinating formal training focused on the DPLA MAP and copyright topics as they relate to digital and digitized materials.
3. Hosting monthly online metadata Q&A meetings—a place for participants to share ideas and local practices, ask questions of metadata “experts,” and discuss challenges related to metadata remediation.
4. Providing final quality assessment of remediated data sets.

2. Library Eligibility

Public libraries and academic libraries (two and four year colleges and universities) are eligible to submit applications for this grant cycle. Native American tribal libraries (as defined in Section 213 of the Library Sciences and Technology Act (LSTA)) within Washington State are also eligible to submit applications for this grant cycle. Library Services and Technology Act eligibility guidelines may be reviewed at <http://www.sos.wa.gov/library/libraries/grants/eligibility.aspx>.

3. Project Eligibility

Ideally, libraries applying for this grant should have in place a functioning digital repository or other collection management system as well as an OAI-PMH service (most widely used software includes this service). Alternately, libraries may incorporate this grant into a migration project (e.g., transfer of digital objects from a legacy system to a standards-compliant digital library or repository). In either case, digital collections that are the focus of your grant should be freely and publicly accessible by the general public on the World Wide Web.

Grant funding is primarily intended for the remediation/cleanup of existing metadata records. Funding may also be used to fund the creation of entirely new DPLA compliant records (i.e., original cataloging), for example, as part of an existing digitization program.

All applications submitted must include a commitment to remediating metadata for a minimum of one digital collection corresponding to a discrete OAI-PMH set.

Libraries may use funds to:

- Train staff and volunteers to catalog/remediate metadata records.
- Pay salary of staff and/or contract services to research and catalog/remediate metadata records (including copyright research).
- Pay salary of staff and/or contract services to develop local policies such as: metadata application profiles and crosswalks; metadata best practices; copyright research policies and procedures, decision trees, risk management tools, etc.

- Pay salary of staff and/or contract services to develop replicable scripting practices aimed at automating metadata remediation activities.

Grant funding **may not** be used to purchase computers, computer hardware, food and refreshments, advertising and promotion of libraries in general, or prizes and other incentives.

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 WSL, a division of the Office of the Secretary of State.

5. Timeframe

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

Tentative Dates

- **Thursday, April 7, 2016** – Tentative date grant cycle opens.
- **Friday, June 10, 2016** – Application deadline; applications postmarked (by USPS, UPS, FedEx, etc.) or delivered *after* this date will not be accepted.
- **June 13 – June 30, 2016** – Application review by committee.
- **July 11 – July 15** – The Secretary of State and the State Librarian review and approve committee’s recommendations.
- **July 18 – 22** – 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.
- **October 31, 2016** - First quarterly report due; for period ending September 30, 2016.
- **January 6, 2017** - Second quarterly report due; for period ending December 31, 2016.
- **April 28, 2017** - Third quarterly report due; for period ending March 31, 2017.
- **June 30, 2017** – Initial metadata remediation activities should be complete and WSL staff notified. Quality assessment and feedback will occur, giving sub-grantees roughly 1.5 months to resolve issues with their work.
- **July 31, 2017** - Fourth quarterly report due; for period ending June 30, 2017.
- **Project period** – From date contract fully executed through Friday, August 18, 2017.
- **Friday, August 18, 2017** – Date project activity must end with all grant-funded metadata remediation activities completed.

- **Friday, September 29, 2017** – Final Narrative Report and final reimbursement claim due.
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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 **Thursday, April 7, 2016**.

An announcement of the grant cycle is sent via e-mail to public, academic, and tribal libraries, (various email lists including WSL Updates, ACRL-NW, 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, WSL 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 Friday, June 10, 2016 or hand delivered by 4:00 p.m. on Friday, June 10, 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 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

**LSTA Grants Program
Washington State Library
PO Box 42460
Olympia, WA 98504-2460**

By Hand or Delivered

**LSTA Grants Program
Washington State Library
6880 Capitol Blvd SE
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 complete metadata remediation/enhancement for one (1) digital collection/set by August 18, 2017, WSL will not reimburse that amount.
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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. WSL will monitor Items included under "Other Funding" and used as match or in-kind contributions. WSL requires documentation for these expenses.
 - E. Applicants must commit to compliance with grant administration requirements. The lead applicant library must also act as fiscal agent for awarded contracts.
 - F. 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.
 - G. 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.
 - H. 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**.
 - I. 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.
 - J. 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.
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8. Assurances

WSL 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.

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).

DPLA Metadata Application Profile – Core Classes

Below are the properties of the DPLA’s three “core classes” which are present for every record displayed in the DPLA portal. These property tables are taken directly from [An Introduction to the DPLA Metadata Model, March 5, 2015](#). For a more in-depth discussion, including an explanation of each class, please read that document. Please note that metadata remediation activities will be largely confined to the sourceResource class.

Grant applicants are encouraged to examine these properties to begin planning for metadata cleanup activities—for example, by creating crosswalks, adjusting metadata mapping, or identifying missing elements or areas for improvement.

The properties in the sourceResource class are:

DPLA Label	Equivalent Element	Requirement
Alternative title	dcterms:alternative	Optional
Collection	dcterms:isPartOf	Recommended
Contributor	dcterms:contributor	Optional
Creator	dcterms:creator	Recommended
Date	dc:date	Recommended
Description	dcterms:description	Recommended
Extent	dcterms:extent	Optional
Format	dc:format	Recommended
Genre	edm:hasType	Optional
Identifier	dcterms:identifier	Optional
Language	dcterms:language	Recommended
Place	dcterms:spatial	Recommended
Publisher	dc:publisher	Recommended
Relation	dc:relation	Optional
Replaced by	dcterms:isReplacedBy	Optional
Replaces	dcterms:replaces	Optional
Rights	dc:rights	Required
Rights Holder	dcterms:rightsholder	Optional
Subject	dcterms:subject	Optional

Temporal Coverage	dcterms:temporal	Optional
Title	dcterms:title	Required
Type	dcterms:type	Recommended

The properties in the Ore:WebResource class are:

DPLA Label	Equivalent Element	Requirement
File Format	dc:format	Optional
Rights	dc:rights	Optional
Standardized Rights Statement	edm:rights	Required

The properties in the Ore:Aggregation class are:

DPLA Label	Equivalent Element	Requirement
Aggregated SR	edm:aggregatedCHO	Required
Data Provider	edm:dataProvider	Required
Digital Resource Original Record	dpla:originalRecord	Required
Has View	edm:hasView	Optional
Intermediate Provider	dpla:intermediateProvider	Optional
Is Shown at	edm:isShownAt	Required
Object	edm:object	Optional
Preview	edm:preview	Required
Provider	edm:provider	Required
Standardized Rights Statement	edm:rights	Required

Sample Work Plan

The following sample work plan has been provided to assist applicants to this pilot grant 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
Attend kick-off meeting	September 2016	September 2016	Jane Smith
Conduct metadata quality assessment and develop remediation/cleanup plan for each collection/set.	September 2016	November 2016	Jane Smith, Librarian; State Library staff
Hire metadata remediation contractor	September 2016	October 2016	Jane Smith

Attend DPLA MAP training	October 2016	November 2016	Jane Smith; project staff (tbd)
Attend copyright training	November 2016	December 2016	Jane Smith; project staff
Write and submit first quarterly report, and submit reimbursement claim	January 2017	January 2017	Jane Smith
Attend monthly online metadata clinics	October 2016	July 2017	Jane Smith, project staff; State Library staff
Complete metadata remediation for first collection/set	December 2016	January 2017	Jane Smith, project staff
Submit remediated metadata for State Library staff for feedback	January 2017	February 2017	Project staff
Complete metadata remediation for second collection/set	February 2017	March 2017	Jane Smith, project staff
Write and submit second quarterly report, and submit reimbursement claim.	April 2017	April 2017	Jane Smith
Update local data dictionaries and metadata policies.	January 2017	May 2017	Jane Smith
Write and submit third quarterly report, and submit reimbursement claim.	June 2017	July 2017	Jane Smith
Complete metadata remediation for third collection/set	July 2017	August 2017	Jane Smith, project staff
Submit remediated metadata for second and third collections/sets for State Library staff for feedback	June 2017	July 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.robbsos.wa.gov), (360) 704-5228; or Maura Walsh (maura.walshsos.wa.gov), (360) 704-5246.

2. *Why is this grant titled for 2016?*

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

3. *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. Metadata Enhancement Grant funds cannot be used for computers or other technology used to access the Internet, or pay for access to the Internet.

4. Does participation in the project mean my records will become part of the DPLA?

Not in the immediate future. A regional or state service hub is not yet available to serve as a “DPLA on-ramp.” When a service hub is available, your institution will likely need to formally participate through a data exchange agreement or contract with the organization(s) maintaining the hub. However, successful participation in this grant project will ready your data for harvest by a service hub, and presumably, provide institutional capacity so that you may continue to produce DPLA-compliant data.

Project Administration & Management**5. 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.

6. 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.

7. 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.

8. 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).

9. 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.ims.gov/applicants/indirect_cost.apsx if your entity does not have a negotiated rate or for more information.

10. 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.

11. 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.

12. 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.

13. 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