



October 2008

CARLI FY2010 COLLECTIONS ENHANCEMENT AWARDS PROGRAM

There are two awards programs within the CARLI Collections Enhancement Awards Program, [Access & Analysis Awards](#) and [Collaborative Digitization / Collection Partnerships Awards](#). This document introduces and addresses the Proposal Process for both.

ACCESS & ANALYSIS AWARDS*

***Enhance Bibliographic Access to Current Collections OR Analyze Current Collection Strengths & Weaknesses**

Examples of "Access & Analysis Awards" proposals include:

- *Creating electronic guides to archival collections*
- *Adding holdings information for serials*
- *Targeted analyses in designated segments of the state's current collection*
- *Interlibrary loan studies*
- *Review the history and impact of the collection enhancement awards*

COLLABORATIVE DIGITIZATION / COLLECTION PARTNERSHIPS AWARDS

The "Collaborative Digitization / Collection Partnerships" program is similar to the Collections Enhancement Awards Program in previous years. Collaborative digitization projects are specifically encouraged. For collection partnership proposals, the CARLI Collections Working Group suggests a minimum request per participating institution of \$2,000.

Several guiding principles inform the competition. Please keep these principles in mind as you prepare your proposal:

- *Universal Benefit: demonstrable benefit to a broad constituency.*
- *Open Physical Access: resources acquired or created with awarded program funds must be available to the primary constituents of all libraries in the consortium.*
- *Local Sufficiency: projects are not meant to replace the need for locally sufficient collections.*
- *Selective Participation, Universal Input: although not all members are expected to participate actively in all projects, each member library will have an opportunity to respond to project ideas.*
- *Multiple Funding Modes: including consortial, external, and local funding.*
- *Creative Pilots: the consortium encourages the development of creative pilot projects that directly address the needs of library users.*

All member libraries of the consortium are encouraged to become part of a collaborative group of two or more members that develops and submits a proposal. If you have questions about the CARLI Collections Enhancement Award Program competition, please do not hesitate to contact the CARLI office by e-mail at support@carli.illinois.edu.

Who may submit proposals?

Access and Analysis Awards:

Any library within the Consortium of Academic and Research Libraries may submit proposals for "Access and Analysis Awards." Projects must demonstrate benefit to the consortium. Collaboration is encouraged.

Collaborative Digitization / Collection Partnerships Awards:

Projects **must** be collaborative: any two or more libraries within the Consortium of Academic and Research Libraries may submit proposals for collaborative projects. Projects must demonstrate benefit to the consortium. Collaboration with nonCARLI Illinois organizations or agencies (such as historical societies or museums) is allowed. CARLI members will be the fiscal agent for any successful proposals.

Does the FY 2010 Collections Enhancement Awards Program have a theme?

Access and Analysis Awards:

No

Collaborative Digitization / Collection Partnerships Awards:

Yes, the theme for this year's program is, "Peace / Justice / Conflict"

What Funds are available?

Access and Analysis Awards:

\$50,000 to \$70,000 has been allocated for these awards.

Collaborative Digitization / Collection Partnerships Awards:

\$80,000 to \$100,000 has been allocated for these awards.

Can indirect costs be added to the funds requested?

CARLI does not allow indirect cost to be charged or added to the awards that it distributes. Besides any college or university administrative indirect costs, library costs such as cataloging, processing, processing supplies, or shipping may not be charged against or added to the award. These costs are the responsibility of each award recipient.

Can a proposal request travel costs to present research findings?

The Collections Working Group will consider funding up to \$500 per proposal to present research findings at a conference. Specific details about the conference and cost estimates for travel must be included within the budget portion of the proposal.

What is the proposal process?

The process has been developed to encourage thoughtful well-developed proposals.

1. All project directors must notify CARLI by **December 5, 2008** that they intend to apply for a CARLI Collections Award. The statement of intent to apply form may be found on the CARLI website at: <http://www.carli.illinois.edu/mem-serv/mem-train/register/081212intent/>.
2. A representative of each proposed award project must attend a workshop in December 2008. There will be a choice of two workshops offered: an in-person in Chicago at the Illini Center on December 12th and webinar version on December 16th. The representative may be anyone that will convey the information presented to the primary contact for the proposal.
3. All proposals must be submitted to the CARLI Director of Collections Services by **March 27, 2009**.

The proposal format will be reviewed at the mandatory December 2008 workshops. The format includes a completed cover sheet (with abstract), a proposal not to exceed 5 pages and supporting attachments not to exceed 10 pages. Each proposal should include page numbers and font size should not be smaller than 11 point.

One ELECTRONIC document of the cover sheet (with abstract), proposal, and supporting attachments in Adobe Acrobat PDF should be submitted to support@carli.illinois.edu by March 27, 2009. The CARLI Request Tracker system will receive the message and generate an automatic email reply to the submitter with a unique "ticket number". After receipt and review of the documents, an acknowledgement will be emailed to the submitter.

For additional questions regarding submission of proposals, contact Elizabeth Clarage at (815) 753-9168 or the CARLI office at (866) 904-5843 or by e-mail at support@carli.illinois.edu.

The ELECTRONIC COPY will be considered the official copy. If a proposal is funded, a copy of the proposal will be made public on the CARLI website.

4. Each participating institution must have a signature sheet from the library director/designee to indicate agreement with the terms of the proposal and compliance with institutional requirements. This signature sheet should be submitted as a separate document from the main proposal. These sheets must be submitted by fax to (217) 244-7596 or by email to support@carli.illinois.edu by **March 27, 2009**.

5. If the proposal includes the acquisition of materials, the proposal must:
 - Include a collection analysis that demonstrates the need within the state for the materials requested. Proposals may use data from OCLC WorldCat, SILC (Statewide Illinois Library Catalog), or the OCLC Collection Analysis Service, or other similar information tools. All analysis must be fully documented so that the information may be verified by proposal reviewers. Acquisition of multiple copies of materials must be justified within the proposal beyond the need for local access.
 - Address last copy for the proposed purchases with each institution agreeing to accept responsibility for last copy for items purchased with the award. Institutions will either serve as last copy repositories or negotiate with another CARLI member to take permanent retention of the materials.
 - Indicate that materials will circulate including interlibrary loan to other CARLI members. **Any proposal that limits the circulation of materials will not be funded.**
 - Indicate that materials will be cataloged in a “timely manner.” Timely manner is defined as meeting the bibliographic responsibility of full access two months after receiving materials purchased with CARLI funds.

For the FY 2010 award year, CARLI will be adhering to the principles as articulated in the document, "Principles for Collection Partnerships" and “Last Copy Guidelines.” These documents may be found on the consortium's website at:

<http://www.carli.illinois.edu/mem-serv/coll-man/ccdev.html>

6. For Access and Analysis Award Proposals, research projects should include a literature review and, if relevant, a research and methodology section within the proposal.
7. Any statistics provided must be fully documented so that the analyses may be verified by proposal reviewers.
8. The proposals will be scored, ranked, and discussed by the Program's governing body, the CARLI Collections Working Group as well as the CARLI Board of Directors and library directors who have volunteered to assist. The Working Group will notify the CARLI Board of Directors of the proposals that were selected for funding based on its judgment of how well the proposal has met the aims of the guiding principles of the program.
9. Proposing libraries may be asked to revise and expand a proposal for reconsideration in response to feedback from the Collections Working Group. In addition, more details may be requested in specific areas such as funding and plan of operation.
10. Upon request, proposing libraries may receive additional feedback on proposals that were not accepted. These libraries are encouraged to submit revised proposals in the following fiscal year.
11. The contact person for each successful proposal must submit a project summation that includes an overview and review of the project, and if applicable, the materials purchased including the purchase price by August 31, 2010. The contact person is also to submit a final report for the entire project that includes an overall evaluation and assessment of the project by June 30, 2011. Incomplete final reports that do not include an evaluation will be noted when considering future proposals for funding. Reports should be submitted by e-mail to support@carli.illinois.edu .

Are proposals for multi-year funding acceptable?

Recognizing that some projects, for example digitization projects, require more than one year to plan, implement, and complete, CARLI will accept Awards Proposals which span multiple years. Such proposals must meet the following requirements:

1. The proposal may request funding for a project which is planned for completion over a two year or a three year period, with all award funding to be expended by June 30 of the final award year. Proposals for projects which can be completed within one year (e.g. purchase of library materials) will not be considered for multi-year funding.
2. The collection partnership is to continue with the same partnering institutions over the full award period. If for any reason a participating library is unable to continue the partnership project during the second and/or third year, the Director/Dean of the withdrawing institution must notify CARLI in writing no later than the first day of the fiscal year that the partnership project is not continuing.
3. All proposals for multi-year projects for the CARLI Collections Enhancement Awards program must include:
 - a. Detailed budget, year by year, for each participating library
 - b. Detailed plan, year by year, with benchmark goals to be completed by which progress will be measured and reported at the end of the year.
 - c. Benefit of the project and how the project will be made available as an integral part of the statewide collection.
 - d. Plan to promote statewide awareness of the project.
 - e. Progress report plan, including definition of measurables.

Report of progress, including success of benchmark goals and budget report for each participating institution, will be due to CARLI Collections Working Group at the end of each year (by August 31st) of the multi-year project. A final evaluation report which will include evaluation of the project and its impact on the statewide collection will be due one year after completion.

What are the criteria by which proposals will be judged?

Following are the required criteria by which proposals for collaborative projects will be judged:

1. *Benefit:* Who will benefit from the project? How many persons? How will they benefit? How does this project strengthen the statewide collection? How does the proposal address the theme? **(25% of score)**
2. *Cost and Funding Plan:* What is the cost of the project (divided into one-time and continuing costs)? Costs should be as exact as possible. How do the libraries propose to meet the costs? How much, if anything, is being requested in external funding? How much is proposed as cost-sharing, both on the part of the proposing libraries and all libraries in the Consortium? Is there a plan for reverting to local funding after a start-up period? **(20% of score)**
3. *Quality of Plan of Operation:* Is the plan likely to succeed? Are there sufficient guarantees that commitments will be maintained--for example, via a formal written agreement? How will participants coordinate plan of operation? In particular, is the plan for providing service for the entire Consortium likely to be effective? **(25% of score)**
4. *Expandability, Adaptability:* Might the project, if successful, be expanded to a wider area or adapted by others? What is its value as a pilot project? **(10% of score)**
5. *Quality of Plan for Evaluation & Plan for Reporting on Progress:* How will project effectiveness be evaluated? What is the plan for review and evaluation? **(20% of score)**

PROJECTED TIMELINE/DEADLINES

December 5, 2008	“Statement of Intent to Apply” due to CARLI Office
December 12 & 16, 2008	Mandatory Proposal Workshops
March 27, 2009	Proposals due to CARLI Office
March 27, 2009	Proposal signature sheets due to the CARLI Office
April - May 2009	Scoring of proposals
May 29, 2009	CARLI Collections Working Group reviews proposals
July 2009	Announcement of FY09 funded projects
July – October 2009	Disbursement of funds
June 30, 2010	Deadline for expenditure of funds
August 31, 2010	Project summation reports for FY10 projects due to CARLI
June 30, 2011	Final reports for FY10 projects due to CARLI

CONSORTIUM OF ACADEMIC & RESEARCH LIBRARIES IN ILLINOIS

PROPOSAL COVER SHEET
FY 2010

PROJECT:

This project is a:

_____ Access & Analysis Award Proposal

_____ Collection Partnership / Collaborative Digitization Award Proposal

AMOUNT OF MONEY REQUESTED:

HOST LIBRARY:

HOST LIBRARY INFORMATION:

Contact Person: _____

Address: _____

City: _____ State: _____, Zip: _____

Phone: _____ Fax: _____

E-mail: _____

Director of Host Library:

PARTICIPATING LIBRARIES, CONTACT PERSONS, & FULL CONTACT INFORMATION:
(Include the **name, title, full U.S. Postal address, phone number, and e-mail address** of a contact person at each participating library.)

Please use additional sheets of paper if necessary.

NEW: Include an abstract that concisely describes your proposal. Please limit the abstract to 200 words.