

CARLI Collections Working Group
Report on Collection Partnerships Grant Process
May 8, 2006
DRAFT

The CARLI Collections Working Group has determined that the Collection Partnership Grants Program process needs to be reviewed and re-evaluated.

CWG Observations on the FY07 Grant Process and resulting proposals:

- Background: This has been a transition year from the ICCMP Collection partnership grants to a CARLI-administered grant program. A decision was made in early fall 2005 to continue the ICCMP goals, communication and format guidelines, with the CWG substituting for the ICCMP Board of Directors to administer the grants process. At that time it was acknowledged that the process will need overall review, but there was not time to do so and proceed with FY07 grants. Even so, the normal timeline for the grants process had to be collapsed by a few weeks. The shortened timeline was due to the CARLI Board needing the recommendations earlier; and time needed to schedule a bibliographers' meeting without conflicts with other meetings.
- CWG received significantly more proposals for FY07 (23) than previously FY06 (17)
- Grant proposals submitted for FY07 had several new bibliographers and CARLI institutions participating.
- It was apparent at the Bibliographers' meeting that many bibliographers had not begun discussing potential partnership projects until discussion that day. Prior discussion among bibliographers would have been beneficial, especially given the shortened time frame in this year's grant process.
- Bibliographers' meeting attendees noted that the philosophy, process and timeline for the collection partnership grants was very clearly explained at the meeting, and there was ample time allowed for follow-up questions.
- Quality of the FY07 proposals is notably different than previous years' submissions: e.g.
 - Lack of required elements such as commitment to final report to CARLI; some omitted amount of request on cover sheet
 - Several uneven proposals which indicate lack of coordination among participants; since the partnership and collaboration are key elements of the program this points to a problem
 - Although a collection assessment was designated as essential, several proposals lacked assessment, or the assessment piece was unclear or did not really support the proposal
 - Some proposals were submitted to Elizabeth in more than one file, one notable proposal consisted of several separate files. This required Elizabeth to manipulate the proposals.
 - Several proposals did not address the goal of strengthening the Statewide Collection, which has been the overarching goal of the program. Several institutions wrote proposals based solely on the institutional need.

- Commitment to accountability of grant recipients, including plans to assess the impact of the awards, was generally lacking in the proposals. Stronger assessment and accountability was specifically recommended by the CARLI Board to be addressed by the Collection Partnership grants program, and needs to be a required component in future.
- The CARLI Board has also indicated that Digitization partnership proposals should be encouraged and funded so CARLI Digital Collections will grow. Given the timeframe of the CONTENTdm project and the FY07 grant proposal timeline, it is not surprising there were no such proposals this year. CWG recognizes that particular emphasis should be placed on digitization projects in the coming year(s).
- Institutional grants offices' requirements should be addressed in the process. Many institutions are required to work with local grants offices before submitting grant proposals. This builds in an unknown level of complexity, given multiple institutions involved in one joint proposal and varying requirements of institutions. There is no requirement for endorsement from any institution in the current process.

CWG Recommendations to the CARLI Board:

- The CWG affirms that the ICCMP Principles for Collection Partnerships (May 1998, rev. November 2003) <http://www.niulib.niu.edu/ccm/guide03.html> remain a sound foundation for the Collection Partnership grants. However, the document and the program itself should be reviewed and revised to be adopted by CARLI. The ICCMP Statement of Principles (<http://www.niulib.niu.edu/ccm/statepri.html>) should be incorporated in that review process. Recommended date: July/August 2006
- CWG recognizes that more education and guidance is needed for bibliographers who participate in the collection partnerships program. To that end, we recommend more proactive measures including:
 - Timeline needs to be more aggressive, beginning with a Bibliographers' Meeting to be scheduled in November.
 - A statement of intent to apply. Project directors must notify the designated CARLI staff liaison of intent to apply by the first Friday in December.
 - Grants workshop will be given for all project directors to reinforce understanding of the goals and requirements of the grants writing procedures. Expectations for content should also be addressed. (mid-December)
 - Require submission of one PDF document per proposal.
- Accountability and assessment need to be stronger components of the grant proposals. Statistics provided must be fully documented so that the analyses may be verified by proposal reviewers.
- The goal of building and reinforcing the Statewide Collection must be reinforced in any communication and publicity about the program, as well as within the grants workshops and bibliographers' meetings.
- Digitization partnerships need to be encouraged. Collaboration among CARLI groups to foster such proposals (Collections, Digitization, Continuing Education)

- Require that each proposal include a statement that the proposal meets institutional requirements for grant proposal submission, to be signed by each participating library's director/dean/designated officer.
- Require a standard format:
 - All information on the Proposal Cover sheet must be completed. (CARLI should provide this in a non-PDF electronic format for ease of copying).
 - Each report must include page numbers.
 - Font size may be no smaller than 11.
 - One electronic file only (PDF format) is to be submitted per proposal.
 - Each participating institution must have a signature sheet from the director/designee to indicate agreement with terms of proposal and compliance with institutional grant requirements.
 - Narrative segment of proposals is not to exceed 15 pages. Optional lists of items to be purchased should not exceed 10 pages.
- The Collections Working Group Grants Subcommittee will develop the Grants Workshop. The workshop will include:
 - Assessment
 - Matrix statistical guidelines
 - Core values (i.e. universal benefit, commitment to resource sharing throughout the state of Illinois)
 - Format
 - Sustainability/long term benefit
 - Evaluation criteria
- The Collections Working Group Grants Subcommittee should review the Grants Scoring sheet, in order to develop scoring which reflects discrete criteria and scores each of the criteria separately.