

# TEXTREASURES GRANTS

FY 2004

The TextTreasures Grants program is administered by the Texas State Library and Archives Commission, as a component of the TexShare Library Resource Sharing Program. In accordance with Commission rules, these grants will be administered under the Uniform Grant Management Standards (UGMS) using OMB Circulars A-87 and A-102.

## PROGRAM DESCRIPTION

<b>Purpose</b>	To provide seed money to assist Texas public and academic libraries to provide access to their special or unique local collection holdings and to make information about these holdings available to library users across the state.
<b>Eligible Applicants</b>	Libraries that have been certified as meeting the TexShare membership requirements for the fiscal year in which the grant is awarded are eligible for this grant program. A TexShare library may apply on behalf of a group of TexShare libraries in a cooperative project, or for funding of the library portion of a project including other libraries or organizations.
<b>Funds Available</b>	A total of \$100,000 is available for grants from State Fiscal Year 2004 funds.
<b>Maximum Award</b>	The maximum grant award will be \$20,000.
<b>Matching Funds</b>	Each applicant must expend an amount from local funds at least equal to 30% of the total budgeted project costs which are eligible grant costs. The match can be from a foundation grant; gifts from citizens, corporations or organizations; friends of the library donations; revenues; locally appropriated funds, or a combination. State or federal funds awarded to the grantee from any other commission program may not be used as matching funds.
<b>Length of Funding</b>	Projects will be funded for up to 12 months beginning <b>September 1, 2003</b> and ending <b>August 31, 2004</b> .
<b>Fundable Activities</b>	<p>This grant focuses on making unique library collections of importance to Texas or Texans accessible for TexShare constituents. Applicants may propose projects designed to increase accessibility through a wide range of activities such as organizing, cataloging, indexing, microfilming and digitizing local materials.</p> <p>This grant program will fund project related costs such as:</p> <ul style="list-style-type: none"><li>• Staff or contracted services costs for organizing, cataloging, indexing, or digital conversion of materials;</li><li>• charges for updating shared bibliographic database records;</li><li>• central processing units (CPUs) and associated peripherals, storage devices, telecommunications devices and software necessary to provide storage and access for digitized materials;</li><li>• supply costs necessary to provide storage and access;</li><li>• indirect and audit costs;</li><li>• travel necessary to organize materials directly associated with the grant.</li></ul>

This grant program will **not** fund the following costs:

- building construction or renovation;
- food, beverages or gifts;
- equipment or technology not specifically needed to provide services to meet the project goals and objectives;
- transportation/travel for participants (other than project staff or contractual personnel);
- programs to enhance service on a single campus;
- legal fees, including copyright permissions.

## CRITERIA FOR AWARD

This grant program is competitive. A peer review panel will score proposals on six criteria which the TexShare Advisory Board and State Library and Archives Commission believe are key factors in increasing accessibility to significant local holdings. The maximum number of points for each category is indicated:

**Significance of Collection**  
(30 points)

The overall purpose of the grants, and indeed TexShare itself, is to make needed materials available for use by as many citizens of Texas as possible, no matter where they are located. Please ask yourself:

Is the collection unique, or unique for a geographic region? Will the materials be useful to users throughout the state? Does this project focus on materials about Texas? Will the project provide an "advancement of knowledge" rather than cleaning up general backlogs?

Applicants with projects that make materials available that are not available anywhere else will be awarded more points. Materials that are available at a variety of libraries statewide will be awarded few or no points.

Will the materials be useful to users at libraries throughout the state? Even if the materials are unique, they may be useful to only a very narrow field of study. More points will be assigned to collections in fields or topics with a large number of students or researchers, or where the most significant research is being done.

Will the project provide an "advancement of knowledge" rather than cleaning up general backlogs? Since the grants aim at making most-needed materials available, projects should be focused on particularly useful materials, not aimed at exhaustively cataloging a library's collections. More points will be assigned for projects that show evidence of thoughtful selection of the materials to be made available.

More points will be awarded for projects that focus on materials about Texas.

**Availability**  
(30 points)

Although in some cases it is useful to a user to know merely that an item exists, in most cases he or she needs to be able to see the document.

How will access to the collection be provided? More points will be awarded for collections that will be more accessible.

The bibliographic records must be available either through OCLC or the Internet. Libraries making information about the collection available in both ways (for example, through their own Internet-accessible online catalog, as well as OCLC) will receive more points.

Will materials themselves be available through an Internet connection, through inter-library loan, through reciprocal borrowing, or on-site use? The rarity and condition of the materials will be taken into consideration. Libraries will not, for instance, be penalized for allowing only on-site use for unique manuscripts. However, projects that digitize materials only available on-site will be awarded more points than those that don't, or those that are digitizing materials available on interlibrary loan. However, successful projects that digitize materials will be awarded more points.

**Project Design**  
(15 points)

Applicants should demonstrate that they have done the necessary planning to carry out the project effectively. Projects that make a whole collection available are preferred over those that perform only part of the necessary work.

Is the project well defined? The applicant should identify all the resources that will be needed to carry out the project effectively (for example, staff, workspace, hardware, software, processing supplies) and should demonstrate a clear sense of the workflow within the project.

Is it a discrete project that can be completed within the grant period? The proposals should outline a realistic timeline and measurable results.

**Cost Sharing**  
(5 points)

What is the level of local funding available to share in project costs? Are matching funds currently available? Are the matching funds higher than the required minimum?

Matching funds are *required* to be available at the start of the grant contract, but if an applicant already has the matching funds available (awarded by another grantor, budgeted by the institution), they will be awarded more points than applicants who have requested but not yet received matching funds.

Projects which demonstrate more local commitment than the required minimum will be awarded more points.

**Cost Effectiveness**  
(15 points)

How appropriate are the chosen hardware, software, staffing, and service providers for the project, given the cost of the project? Is the budget realistic? Does the project proposal make effective use of the grant funds? Describe the methodology for the equipment chosen.

**Evaluation**  
(5 points)

How well has the applicant designed and described the methodology to evaluate the project and estimate the level of usage? Is the evaluation methodology appropriate and effective?

It is important to demonstrate that TexShare funding has resulted in increased or more cost-effective services to Texans. It is also important to be able to determine which kinds of local materials are most useful to users. Beyond the measurable results of items indexed, cataloged, microfilmed, or digitized, applicants need to plan to document the increased use of the materials that results from increasing their accessibility, and, if possible, the importance of the research facilitated.

Successful applicants should notify their legislators of the award and provide a description of the project.

## **GRANT REVIEW AND AWARD PROCESS**

**Peer Review Panel**

The Commission uses peer reviewers to evaluate the quality of applications. The Director and Librarian will appoint a peer review panel of qualified individuals.

**Staff Responsibility**

The State Library staff will review each application for the following:

- legal eligibility of the library to participate in a grant program;
- conformance to the federal and state regulations pertaining to grants;
- inclusion of unallowable costs;
- errors in arithmetic or cost calculations;
- submission of all required forms;
- other misconstructions of the guidelines;
- compliance with copyright permissions.

Staff will raise issues and questions regarding the needs, methods, staffing and costs of the proposals. These staff comments will be sent to the Peer Review Panel along with the applications to provide the Panel with information and problems to consider.

Applicants will be sent a copy of the staff comments to give applicants an opportunity to respond in writing. Applicants may not modify the proposal in any way. Applicants' responses will be distributed to the Panel. The staff will tabulate the results of the Panel members' deliberations, report these back to the Panel and to the applicants, and present the Panel's work to the Texas State Library and Archives Commission for final approval.

It is expected that the Panel's recommendations for funding will be presented to the Commission without any contrary staff recommendations. However, in the unlikely event that the Panel recommends the funding of an application which, for legal, fiscal, or other reasons, is unacceptable to the staff, a contrary recommendation will be made. The Panel will be informed of this situation prior to presentation to the Commission.

If the Panel sets conditions for funding a given application (e.g., reduction of project budget, revision of project objectives, change in implementation method), the commission staff will negotiate with the applicant in an attempt to meet the Panel's conditions for funding. A positive recommendation to the Commission will be contingent upon successfully completing these negotiations prior to the Commission meeting.

In the unlikely event that, for whatever reason, the Panel is unable to produce a set of recommendations for funding, the staff will use the same evaluation procedures to develop recommendations to the Commission

**Review Panel  
Responsibility**

Each participating Peer Review Panel member will review all grant applications and complete a rating form for each. Each member will evaluate the proposal in relation to the specific requirements of the criteria and will provide a point score for all components of the criteria. In the comments section of the Evaluation Form Panel members may describe, for the applicant's benefit, the proposal's strengths or weaknesses.

EXCEPTIONS: No Panel member who is associated with an applicant or with an application, or who stands to benefit directly from an application will evaluate that application. Any Panel member who feels unable to evaluate a particular application fairly may choose not to review that application.

Panel members will consider and assess the strengths and weaknesses of any proposed project only on the basis of the documents submitted. Considerations of geographical distribution, demographics, type of library, or personality will not influence the assessment of a proposal.

Panel members may not discuss proposals with any applicant before the proposals are reviewed. Commission staff is available to provide technical assistance to Panel members. All negotiations with the applicant will be conducted by commission staff.

Panel members may offer a motion to set conditions for funding a given application, e.g., reduction of project budget, revision of project objectives. Such motions must be approved by a majority vote of Panel members present and eligible to vote. The motion must include a statement of the reasons for setting such conditions. Panel members who are ineligible to evaluate a given proposal will also not vote on funding conditions.

Panel members who do not attend the meeting may mail the evaluation forms to the Working Group liaison to the Advisory Board, in care of the Library Resource Sharing Division. In order to be counted, the mailed forms must arrive before the meeting.

## Decision Making Process

*Step 1:* Library staff will total the number of criteria points on each form, and calculate a mean score. Applications will then be ranked according to the mean scores, rounded to one decimal place.

**To be eligible for funding, an application must receive a minimum adjusted mean score of 50 points.**

*Step 2:* The ranked list will be presented to the Texas State Library and Archives Commission for approval in an open meeting.

*Step 3* Starting with the highest ranked application on the approved list and working toward the lowest, the staff will begin awarding grant funds until either:

1. insufficient funds remain to fully fund a proposal; or
2. two or more proposals are tied, having received identical scores.

*Step 4* If insufficient funds remain to fully fund the next application, the staff will negotiate with the applicant, explaining that their proposal is next in line to be funded, but the requested amount of money is not available. The applicant may:

1. agree to accept the lesser amount and, if necessary, reduce the level of activity to be conducted.
  - a) if this is acceptable to the staff, that applicant will be awarded the lesser amount.
  - b) if a reduction in the level of activity is unacceptable to the staff and further negotiations are unsuccessful, the application will not be funded. Staff will then consider the next proposal on the list.
2. not agree to reduce the amount of funds requested. Staff will then consider the next proposal on the list.

*Step 5* In the event that ties occur in the ranked listing of applicants, the following procedures will be used.

In the case of two proposals tied with the same score:

1. if there are sufficient funds available to award grants to both applications, this will be done;
2. if there are not enough funds to award grants to both applicants, the staff will initiate negotiations with the applicant requesting the least amount of money. The negotiations will proceed as detailed in Step 4. Should negotiations with both of the tied applicants prove unsuccessful, staff will go to the next proposal on the list.

In the case of more than two proposals tied, the decision will be referred back to the Peer Review Panel for resolution. The Panel members who participated in the process will receive the set of alternative decisions which could be made with the funds available. They will rank these alternatives in the order of desirability. These ranks will be compiled and the alternative(s) with the highest median score will be awarded funds. This process may be conducted by mailing to the Panel and by telephoning the members to obtain their recommendations. Should this process fail, the commission staff will exercise its judgment in making the award.

*Step 6* The announcement of the grant recommendations, together with a compilation of reviewers' scores and comments, will be sent to the applicants, the Peer Review Panel, and other interested persons.

*Step 7* Performance measures are negotiated with successful applicants, and contracts issued.

## INSTRUCTIONS FOR PREPARING YOUR APPLICATION

- Application** Since the information submitted in the application packet will be the only information the reviewers will receive, the State Library strongly encourages applicants to be thorough in preparing their applications. Show the connection between the collection to Texas and/or Texans. The connection to Texas should be clearly documented. Commission staff offers training to library staff on effective grant writing and provides consulting services for potential grant applicants. Contact Library Development at (512) 463-5527. Staff will review application packets for completeness, but only the Peer Review Panel may recommend projects for funding and the amount of funds requested by applicants usually exceeds the amount available.
- Standard Grant Application Forms** All applications must include the following forms found in ***Application Guidelines and Forms, FY 2004***. The application and certification must be signed by an official authorized to sign such documents. If possible answer each question on one page.
- Application for State/Federal Assistance
  - Budget Information
  - Prior Approval Costs
  - Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion, Lower Tier Covered Transactions (with authorized signature)
- Program Narrative** The program narrative is the document that you will write and that grant reviewers will use to score the grant. It answers the question: "What will be done with grant funds?"
- A standard narrative form is found in Appendix B, and is to be used by all applicants. Provide all the information requested.
- In the ABSTRACT give a brief description of your project's main activities, and goals and objective you plan to achieve and any connection between the project and Texas and/or Texans. The remaining pages of the narrative consist of a list of criteria which will be used by the Peer Review Panel in evaluating your application. To determine what to write, look at the helpful hints following each criterion. Do not omit any criteria.
- Try to keep the narrative within the space provided, but you may attach additional pages, if necessary.
- Performance Measures** The State Legislature is very interested in the impact programs and grants are having. The State Library has developed a standardized performance measurement form to gather this information. See Appendix C. It is essential that this form be submitted, and that the successful projects make every effort to achieve the results that were projected.
- Copies** Six copies of each document in the application are required. **Please do not staple or bind the application.**
- Deadline** Applications must be received at the State Library **by 5 p.m. Central Time on the due date** (See the Timeline). Applications submitted by telefax must be received by the same deadline, and in addition the signed original and a complete copy of the application package must be mailed bearing a postmark no later than the due date. Use the Checklist (Appendix A) to help ensure that all documentation is included. The telefax number is **(512) 936-2306**.

**Signatures** – At the time of submission, all applications must be signed by an official authorized to sign documents of this type.

**NOTE: Unsigned applications will not be accepted**

*Caution:* Do not wait until the last minute to fax your application. The State Library is not responsible for machine malfunctions, busy signals, or any other problems which disrupt

the transmission and result in missing the deadline. Call for confirmation of receipt.