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| CENTRAL NEW YORK LIBRARY RESOURCES COUNCIL  **Regional Bibliographic and**  **Database Grant Program** | LogoJPEG |

Retrospective Conversion Application Instructions



All grant applications must be received by CLRC by 5:00 p.m. on **January 17, 2014**. ***Incomplete or late applications will be rejected****.*

Complete the electronic application available on the CLRC website. Instructions to do so begin on page 4 of this document.

The signed cover sheet must be faxed (1-315-446-5590), scanned to [clrc@clrc.org](mailto:clrc@clrc.org), or mailed to CLRC:

CLRC

6493 Ridings Road

Syracuse, New York 13206

Attn: RBDB

If you have questions, please email Debby Emerson at demerson@clrc.org.



New York State provides Regional Bibliographic Data Bases and Interlibrary Resources Sharing (RBDB) Program funding to the NY3Rs Councils and their members through a grant application program. The program is based on guidelines issued by the New York State Library Division of Library Development.

The New York State Regional Bibliographic Databases and Interlibrary Resources Sharing Program (RBDB) is funded in the nine NY3Rs regions of the state "(i) to support bibliographic control and interlibrary sharing of information resources ... and (ii) to coordinate and integrate the automated circulation systems of the component public library system or systems, school library system or systems and other automated systems." The annual amount available for the region is set by state law formulas. In the CLRC region, the RBDB program supports regional projects and projects submitted by member libraries and library systems.

## The CLRC Plan of Service 2011-2016 sets the priorities for developing the 2014 CLRC RBDB Application. CLRC will consider projects addressing the priorities stated in the goals and objectives of the CLRC Plan of Service 2011-2016, specifically projects that promote access to resources, information enhancement projects, electronic information, interlibrary resource-sharing using new information technologies, and training for information technologies. Full access to the CLRC Plan of Service is available at <http://clrc.org/clrc/wp-content/uploads/2011-2016-PoS.pdf>.

Instructions contained in this application include directions specific to the CLRC region. They include guidance for completing a proposal for a 2013 RBDB project and a timeline for 2014 RBDB projects.

Additional information relevant to the RBDB Program is available:

* Instructions for Completion of Sampling Information on Database Criteria Assessment Summary Form (includes information about sampling to identify the proportion of unique titles in a collection, if requesting the higher level of funding for retrospective conversion of unique materials). The form may be found on page 10 of this application.
* Education Law for the RBDB Program may be found at: <http://www.nysl.nysed.gov/libdev/excerpts/finished_regs/9019.htm>



New York State Library Division of Library Development Guidelines

Funds for the Regional Bibliographic Data Bases and Interlibrary Resources Sharing Program may be used for a variety of purposes to benefit regional resource sharing and information technology in each NY3Rs region. Information technology advisory committees or regional automation committees they are called in some regions shall be 'composed of representatives of all types of libraries and library systems in the region' [8 NYCRR [§90.19](http://www.nysl.nysed.gov/libdev/excerpts/finished_regs/9019.htm) (10)(b)(1)]. The responsibility of these regional committees is to develop automation/information technology goals in consultation with member libraries, which take into account regional needs. These goals should be consistent with the 3Rs Council five-year plan of service and approved by the 3Rs Council Board of Trustees. These guidelines take effect with the 2005-06 RBDB program and are applicable to the RBDB program in all regions. The activities listed below may be carried out by the system, through member projects, or a combination of both. Projects submitted for funding under the RBDB Program are approved by the 3Rs Council Board of Trustees.



Retrospective Conversion Guidelines

* Materials, whether unique or ubiquitous, must have at least a minimal amount of existing local cataloging. If a library can find any record already done in a national bibliographic utility database to provide a catalog record then that would make the item ubiquitous; if, on the other hand, the library cannot find any catalog record and needs to complete the cataloging of the item locally, then that item can be considered unique.
* Materials must be available for resource sharing within the region.
* Electronic records of the material must be available through a multi-type regional catalog.
* Projects will be selected based on an assessment of the regional value of the collections of items to be converted.
* Up to $1 per ubiquitous record and up to $10 per unique record may be used as a guide in determining the project award.
* Funds may not be used to support cataloging of current acquisitions. Current acquisitions are defined as items acquired during the year in which the application is submitted.
* In addition, each region in consultation with its information technology advisory committee, shall decide if retrospective conversion projects are still necessary and appropriate for the region.
* Councils will provide evidence to Library Development that retrospective conversion is not currently needed in the Region.
* Retrospective conversion projects should be phased out rather than stopped abruptly.



Expenses not allowed

* Overhead physical plant costs such as rent, heat, electricity.
* Current acquisitions which are defined as items acquired during the year in which the application is submitted.
* Delivery of physical items by such means as the US Postal Service, UPS, or a local courier or delivery service.
* Direct payments to libraries for ILL expenses.
* Purchase of an integrated library system for individual libraries.



Contractual Agreement

Recipients of RBDB funds will be asked to sign a contract agreeing to the following:

1) Recipient will carry out the project as described in the attached proposal, which has been approved by the New York State Education Department.

2) CLRC will pay Library the approved RBDB amount when funds are received from the New York State Library, following receipt of a copy of the signed contract.

3) CLRC assumes liability for the execution of project agreements only to the extent of monies available for the purpose thereof.

4) Recipient will maintain as normal business records, receipts of equipment and services purchased numbers and types of records converted and other normal records.

5) Recipient will submit to CLRC a final written project report submitted no later than June 30, 2014.

6) Recipient will submit to CLRC a final written project evaluation submitted no later than August 31, 2014.

7) Recipient gives assurance that, if applicable, bibliographic data shall meet RDA or US MARC standards.

8) Recipient agrees that, if applicable, bibliographic records converted through the use of these funds shall be made available for the purpose of resource sharing, to the New York State Library without charge other than the cost of duplicating such records.

9) Recipient agrees that all publicity or products created as a result of project activity will carry the following (or similar) acknowledgement: "This project is (partially) supported by Regional Bibliographic Databases and Interlibrary Resources Sharing Program funds which are administered by the Central New York Library Resources Council."



2014 RBDB Application Process Timeline

This section describes the process traditionally used for administering Regional Automation (RBDB) Funds in the Central New York Library Resources Council region and is included for your information. Please note that no specific dates are given as scheduling of the Library Resources and Services Committee and Board of Trustees meetings varies each year.

November 2013

* RBDB application forms are made available to CLRC member institutions via the Council website at the end of the month.
* The Council announces the availability on the cnylib-l listserv. The deadline to return the application to CLRC is approximately 8 weeks from the date on which the applications are announced.
* The Council adheres to the same deadline date for their own applications.

January 2014

* All copies of the grant applications are submitted to the Library Resources and Services Committee.

Late January 2014

* A meeting of the CLRC LRS Committee is scheduled for late January. The Committee reviews all applications and makes recommendations for funding. A report is prepared and submitted to a three-member independent review panel.

February 2014

* The independent review panel meets, reviews the applications, and reviews the recommendations of the LRS Committee. The review panel may concur with the committee’s recommendations, or make its own recommendations.
* The review panel prepares a report which is submitted to the CLRC Executive Committee and Board of Trustees.

March 2014

* At their regular meetings, the CLRC Executive Committee and the CLRC Board of Trustees review the recommendations and vote to approve the member grant applications.
* The CLRC Executive Director notifies the successful applicants of their acceptance and level of funding. The CLRC Executive Director also notifies any unsuccessful applicants of their status and reasons for the decision.

(approx) August 2014

* Upon receipt of RBDB funding from NY State, CLRC processes payments to successful grant applicants.

Application Instructions



Project Summary

Fill out contact information and basic project information.



Acceptance of Partial Grant

Please note that CLRC has limited Regional Bibliographic Database funds to distribute. While making every effort to fund a successful project in full, CLRC may have to offer partial funding instead in order to use the funds most effectively. Indicate below whether you are willing to accept a partial grant (should the selection jury recommend funding for your project less than your request.)

In addition, please note that funding amounts from the Division of Library Development are subject to change. The amount awarded and the amount disbursed may not be the same.



Funding Summary

Fill out the funding summary for the year 2014. These figures should equal the total amounts from the Detailed Budget.



Detailed Budget

Fill in the RBDB funding and your organization’s share of cost as well as a description of each line.



Record Sampling

To get an idea of how many titles in the database are unique and non-unique, take a sample of your collection and search for those titles in OCLC or another source. If you use another source, please list it. After totaling the number of unique and the number of non-unique titles, list the percentage breakdown for the collection.



Records

Using the sample percentage figures from the Record Sampling section, estimate the number of unique and non-unique titles in the entire collection. RBDB grant money allows for up to $1 for every title that is non-unique and up to $10 for every title that is unique.

In the description field, describe the type of materials in the collection and the significance of these materials to the CLRC region (Herkimer, Madison, Oneida and Onondaga counties).



Project Objectives

Write a detailed description of the project objectives.



Project Activities & Resources

List the specific activities that will be a part of this project and the resources required to complete these activities.



Training Needed

Write a detailed description of the staff training required for this project.



Project Evaluation Plan

All grant applications should make plans at the beginning of the project to measure outputs and outcomes. Actual evaluation may be delayed due to the delay in release of the RBDB funds. Evaluation results or plans for scheduled evaluation must be included in the project final report and in applications for future RBDB grants.

All project applications must include evidence of planning for outcome-based measures, i.e., description of the means for assessing the worth of the project for library users and other audiences. Outcome-based measures ensure that the project is focused on meeting the needs of the library user. CLRC is aware that actual evaluation may be delayed due to the late release of the RBDB funds. However, an evaluation update will be requested on the project final report and will be required of applicants submitting a proposal in a subsequent year. For further information on Outcomes-Based Evaluation, <http://www.imls.gov/applicants/outcome_based_evaluations.aspx>.



Project Continuation

Describe your intended continuation of the project activities after the grant funding year ends.