

Innovation Grants for East Asian Librarians Guidelines for 2016 Applicants

Purpose of the Grant Program

The Council on East Asian Libraries application to The Andrew W. Mellon Foundation (available [here](#)) provides an overview of the Innovation Grant program. The grants are intended for *collection development* purposes in a broad sense. While examples of possible projects are mentioned in the application, these examples are not meant to limit CEAL members as they consider potential projects. Applicants are encouraged to think creatively about ways to broaden and strengthen East Asian collections nationally.

Grant Funding

The Innovation Grant Program will disburse a total of \$255,000 in funding. The amount to be awarded in the second round in 2016 is \$137,390. Second round grant applicants may request grants in an amount between \$25,000 and \$100,000. Projects are for a one-year (12 month) term.

Timeline 2016 (Second Round)

The second round of grants will be announced with a Request for Proposals in early January 2016.

March 1, 2016	Preliminary proposals due (5 p.m. PST)
April 1, 2016	Preliminary review complete Applicants notified
April 1-30, 2016	Proposal development (Only applicants invited to submit a final proposal.)
May 1, 2016	Final proposals due (5 p.m. PST)
June 1, 2016	Announcement of grant award

July 1, 2016 Start of grant term. Project leads may also elect to start the grant term **August 1 or September 1** but not later than September 1.

June 30, 2017 End of grant term. (Alternatively, the end date would be July 31, 2017 for projects with an August 1 start date; August 31, 2017 for a September 1 start date.

Review Panel

The Review Panel for the second grant round in 2016 will consist of three external reviewers, four members of the CEAL Executive Board, and the Innovation Grant Program Principal Investigator.

CEAL Executive Board Reviewers

Jim Cheng	Director, C.V. Starr East Asian Library, Columbia University
Charles Fosselman	Access & Digital Information Services Librarian, East Asia Library, Stanford University
Dawn Lawson	East Asian Studies Librarian, New York University
Hyokyung Yi	Head, East Asia Library Public Services; Korean Studies Librarian, University of Washington

External Reviewers will be announced in late January.

Grant Program Principal Investigator

Ellen Hammond	Director, International Collections and Research Support, Yale University Library.
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Applicants who are employed by the same institution as a review panel member may still apply for grants. All conflicts of interest will be addressed through recusals when the application is judged.

Elements of the Preliminary Application

The application consists of four parts, as follows.

A. Application Cover Sheet

Please use the template available [here](#).

B. Project Narrative

Format: The text should be single-spaced using Times New Roman font (12 pt.). East Asian scripts, if needed, may be in a font of choice. (Please include Romanized forms for all original script text.)

Length: The preliminary proposal narrative should be no more than 3,600 words (about six pages).

Content:

1. Summary of project (75-100 words)
2. Detailed project description, with rationale, content, and goals.
3. Ways in which proposed project would address the following criteria
 - Impact of the project beyond the project lead's own institution.
 - Ways in which the project addresses current problems and issues in the East Asian collection development environment.
 - Overall benefits of the project for the scholarly study of East Asia
 - Innovative aspects of the project (elements or models that break new ground in research libraries in general or application of new elements or models to East Asian libraries or collections)
 - Collaborative elements of the project
4. Timeline, including benchmarks for evaluating progress.
5. Personnel involved in the project, including roles and responsibilities.

6. Collaborators and their institutions, including roles and responsibilities.
7. Description of sustainability issues, if any, and how they will be addressed after project funding ends.
8. Criteria for assessment.
9. Plans for dissemination and outreach regarding project outcomes. (Project leads will be required to submit an article about their project to the *Journal of East Asian Libraries* or other appropriate journal.)

C. Budget Information

1. Narrative explanation of budget in MS Word (formatting should be the same as that specified for the project narrative), providing an explanation of how the figures provided on the budget template (see 2, below) were calculated. The narrative should also describe cost shares and provide a brief overview of the mechanisms for financial oversight to be provided by the project lead's home institution. (This narrative may be included at the end of the project narrative document; the budget narrative portion of the application should be no longer than 1,200 words.)
2. Budget information on template available [here](#).

D. Supporting Documentation

1. Project lead c.v. (**Please submit with preliminary application.**)
2. Letter from University Librarian or equivalent at project lead's home institution indicating support for the project. (**Please submit with preliminary application.**)
3. Letter from chief business or administrative officer at the project lead's home institution indicating acceptance of fiduciary responsibility for grant funds if the application is successful. The letter must also indicate:
 - a) Agreement to observe grant policy on indirect costs (which cannot be paid from grant funds as per Mellon Foundation policy).

- b) Understanding that the Mellon Foundation reserves the right to conduct, upon reasonable notice, on- or off-site audits of financial accounting and other documents related to the grant.

(Please submit with final application.)

4. Letter(s) of support from East Asian studies scholars. One letter is required, but up to three may be submitted. **(Please submit with final application.)**
5. Evidence of non-profit status of the project lead's institution. Please submit a *pdf* copy of the IRS determination letter (or equivalent) with notification of the award of non-profit status. **(Please submit with final application.)** Note that collaborators' institutions may also be asked to submit such evidence.
6. Statement from project lead agreeing to:
 - Submit interim and final narrative and budget reports in a timely matter.
 - Make any software or digitized content created with grant funds broadly available, along with a description of how the software or digitized content would be made available.
 - Submit article detailing project outcomes for publication in the *Journal of East Asian Libraries (JEAL)* or other appropriate journal. (The deadline for submission to *JEAL* is December 31, 2017.)
 - Participate in 2017 CEAL Annual Meeting panel to discuss project progress and outcomes.

Final Application

The final application will contain the proposal narrative, developed and modified to address the suggestions and comments of the review panel members. In addition, it will provide the supporting documentation not included with the preliminary application (D3 – D6, above).

Submitting Proposals

Proposals should be submitted by e-mail to the Innovation Grant Program Principal Investigator, Ellen Hammond (ellen.hammond@yale.edu). The ***preliminary*** proposal will consist of:

1. Cover sheet (using template provided).
2. Proposal narrative and budget narrative (combined into one document).
Please convert the Word file into *pdf* format.
3. Budget sheet (using template provided).
4. Preliminary proposal supporting documentation (D1, D2). Please scan or convert documents and submit in *pdf* format.

Preliminary proposals are due March 1, 2016.

The *final* proposal will consist of:

1. Cover sheet (using template provided). This may be the same as that submitted earlier or may be edited as necessary.
2. Final proposal narrative and budget narrative (combined into one document).
Please convert the Word file into *pdf* format.
3. Final budget sheet (using template provided).
4. Final proposal supporting documentation (D3, D4, D5). Please scan or convert documents and submit in *pdf* format.
5. Statement from project lead as specified above (D6). Please submit in *pdf* format.

Final proposals (selected applicants only) are due May 1, 2016.

Additional Information for Applicants

Who May Apply

Project leads must be CEAL members in good standing employed by colleges or universities (or cultural heritage organizations) with East Asian collections in the United States that are recognized as non-profit organizations under U.S. Internal Revenue Code Section 501(c)(3), Section 115, Section 170(c)(1), or a similar designation for tax purposes. Those in federally funded institutions are not eligible to apply. The grants are intended for East Asian studies librarians, although colleagues with technological or other specialties may be included in project teams or employed for project purposes.

Project Leads

The project lead must be a full-time employee of the applying institution. (The

Innovation Grant Program is using the terminology, “project lead,” instead of the more common, “principal investigator,” since some university libraries restrict the use of the latter term to high-ranking library administrators.) ***Each project lead may submit only one application. However, more than one application may be submitted by an institution (provided that the project leads are different).***

Collaborators

Project collaborators may include colleagues in the project lead’s home institution (faculty, technologists, librarians, etc.), East Asian studies librarians at other institutions, or personnel employed by non-profit library organizations or library consortia. (Collaborators may be asked to submit evidence of their institution’s non-profit status.) Up to two collaborators may be formally associated with a project, although this does not preclude others from being involved in a collaborative role. (Information about other collaborators can be included in the narrative part of the proposal.)

Involvement of non-U.S. Institutions

CEAL does not currently have the capacity to administer projects involving project leads in non-U.S. institutions because of lack of capacity and expertise about financial systems and reporting requirements outside the U.S. However, proposals may include collaborators in Canadian institutions. If an applicant is considering the inclusion of collaborators from any institution outside of the U.S. he/she should consult with the Innovation Grant Principal Investigator prior to submitting the preliminary application.

Grant Amount

The minimum amount for a grant award is \$25,000. The maximum is \$100,000.

Fiduciary Responsibility

Grant funds will be awarded to the project lead’s home institution, which is responsible for the design, implementation, and maintenance of internal controls to ensure the preparation and fair presentation of financial statements that are free from material misstatement. Records that document project expenses (invoices, timesheets, wage rates, etc.) must be maintained for three years after project completion. The Mellon Foundation reserves the right to conduct, upon reasonable notice, on- or off-site audits of financial accounting and other documents related to the grant.

Allowable costs

1. Salaries or wages and associated fringe benefits for new staff hired for the proposed project.
2. Consulting fees or costs incurred for training.
3. Supplies and materials, including expendable equipment and software.
4. Services for equipment rental, server use, or out-sourcing of project work.
5. Other costs necessary for the project that are not specifically disallowed below.

Disallowed costs

1. Projects must adhere to guidelines established by the Andrew W. Mellon Foundation that prohibit grants from including indirect costs. For example, universities are not allowed to retain a percentage of the award for the costs of grant administration. Charges for network use, telephone, furniture purchase or lease, and other overhead are similarly disallowed.
2. Grants are not meant to replace salaries of existing personnel in the project lead's home institutions or of collaborators at other institutions. For example, if a project lead (or other, existing personnel in the home or a collaborator institution) estimates that 10% of his/her work time during the project will be needed for grant administration, 10% of his/her salary and fringe benefits *cannot* be charged to the grant. However, costs for salary and fringe benefits for existing personnel may be calculated and indicated as a cost share.

Costs allowed on an exceptional basis

Applicants should discuss the need for such costs with the Innovation Grant Principal Investigator prior to submitting the preliminary application).

1. Costs of sponsoring or attending conferences.
2. Costs for computers, servers, and other non-expendable equipment.
3. Travel funds.

Digitization projects

While digitization may be one element of a project proposed for funding, proposals for digitization of a collection or collections located in one institution are discouraged.

Those proposing digitization projects are asked to keep in mind the primary criteria for review detailed above.

January 8, 2016