

# Funding a Digital Collections Program

Hawaii Library Conference  
November 2005

Gayle Palmer, [gayle\\_palmer@oclc.org](mailto:gayle_palmer@oclc.org)



# Agenda for Learning

- Focus on planning for funding
  - Strategies for funding
  - Funding sources
  - SMART project development
  - Planning for Success



# Getting Started

- Develop project ideas
- Prepare proposal
  - “master” proposal which can be used for various funders
- Identify potential funders
  - matchmaking
- Target the proposal to specific funders
- Submit your proposals to funders that fit organizational goals

# Funding

Funding is not the issue  
Plan to fund a program not a project  
Good planning = funding  
Grant assistance is available



## Set funding priorities



Four areas of financial need:

- Operating – internal funding
- Special Projects \*\*\*
- Capital/equipment – for building, renovation, major equipment
- Endowment – building a reserve for continuing programs.



## Funding strategies



Goal

To develop a network of funders that

- Match your ideas
- Provide regular small grants
- Periodic larger grants
- Match your need to the right funder



## What's the **Big Idea**?



Planning session – with staff, board, other key constituents

- Identify priorities
- Include all stakeholders
  - Staff, members, volunteers, outside groups, users
- Which ideas are candidates for grant funding?
- Prioritize these candidates
- Who will: Identify potential funders
- Who will: Research and write proposal



## What's your **Big Idea**?



- Write a case statement
  - A brief, 1 –3 paragraphs, description of a digitization or preservation idea you have
- Include potential funders, if you know them
- Read out loud



## Funding strategies



- Case statement for internal funding
  - Presented to the Board or department head
  - Based on justified cost-benefit to the library or organization
- Case statement for external funding
  - Presented to local foundation or community group
  - Based on justified cost-benefit to community



## Funding strategies



- Case statement for grant proposal
  - Presented to grant funding organization
  - Likely a formal proposal process
  - Based on stated criteria for funding of projects and goals of granting organization



## Program funding - internal



- Digital and Preservation projects ultimately sustained through internal funding
- Planning for program essential
- Operating funds are identified if project goals = organization goals
- Project goals support strategic plan
- Program funds can be sustained over several projects



## Funding – external & local



- Start with small requests
- Identify potential sponsors, donors, funding sources
- Sell project goals to them
- Cost out the value of in-kind contributions from partners
- Remember this is relationship building



# Funding strategies



## Matchmaking with funders

- There may be many ways they can help you:
  - printing costs
  - loaned executive programs
  - product contributions
  - free legal assistance
  - cash
  - volunteers
  - ad space
  - transportation
  - paper, supplies, etc



# Funding – external grants



- Learn to write excellent proposals
- Impacts on audience are described
- Good access to collections is not enough
- Costs and activities justified
- Evaluation and assessment of impacts is necessary
- Plan on reports back to funders



OCLC Online Computer Library Center



## Funding Sources



# Foundations are



- Incorporated non-profit organizations
- And they have**
- Policies that establish nature and limitation of support they can give
    - Type of program (medical, children, libraries)
    - Geographic region (Hawaii, state, national)
    - Min/max funding (\$500 - \$500,000 & in between)
    - Type of organization that can receive funding (usually non-profits)



## Five Kinds of Foundations



- General-purpose
- Special-purpose
- Company-sponsored foundations
- Community foundations
- Family foundations



## Matchmaking



- Find a foundation that works with your type of program
  - local foundations
- The Foundation Directory provides information on over 3000 of the larger foundations
- Find out about local foundations
  - newspapers, similar community sources, etc.



## Your Foundation File



- Basic info (Name/phone/contact)
- Your target project
- List of grants made to **your institution** by the foundation (past history)
- List of grants to other similar institutions – your colleagues and competition



## Hawaii Foundations



Samuel N. and Mary Castle Foundation  
<http://fdncenter.org/grantmaker/castle/rfp.html>

The primary interest of the Trustees has been the provision of financial support to private educational institutions. These include preschools, elementary and high schools and colleges and universities.

- Deadline dates in 2005-2006 for submission of proposals in response to this request are:
- February 1 for consideration at the April meeting.
- June 1 for consideration at the August meeting.
- October 1 for consideration at the December meeting.



## Hawaii Foundations



- HEI Charitable Foundation:  
<http://www.hei.com/heicf/guidelines.html>
  - Emphasis Hawaii:
  - Community Development
  - Education
  - Environment
  - Family Services



## Hawaii Foundations



- The Wallace Alexander Gerbode Foundation  
Focus is programs and projects offering potential for significant impact.
  - Primary focus is on the San Francisco Bay Area and Hawaii.  
<http://fdncenter.org/grantmaker/gerbode/index.html>



## Hawaii Foundations



■ People's Fund: Hawai'i People's Fund is a publicly supported community fund

Provides grants to progressive grassroots social change organizations working in Hawai'i and the Pacific

<http://www.hawaiipeoplesfund.org/>



## Government Funders



Things to remember:

- Government/tax money
- Government funding agencies
  - Have legislative authority and rules
- Create formal processes for grants
- Require application forms
- Require a DUNS number



## Government Funders



Partner with other community services to expand funding options:

- Planning & community development
- Transportation
- Education
- Technology



## Government Funders



- All federal grant sources
  - <http://www.Grants.gov>
- The Catalog of Federal Domestic Assistance, annual publication of the Office of Budget & Management
  - Information on all federal programs that provide grants assistance and benefits
  - <http://www.cfda.gov>



## Regional Funding



Listings by State

<http://www.fundsnetservices.com/>

Grants by subject

<http://www.fundsnetservices.com/2000/directory.htm>

Local Government Guide to the Internet

[http://www.rural.org/lgg/Ch17\\_FundResource.html](http://www.rural.org/lgg/Ch17_FundResource.html)



## State LSTA



- All states receive LSTA funds based on a per-capita formula
- Each state determines how the funds will be distributed
- Generally administered by state library and/or library council
- Find out how and when LSTA funds are distributed in your state
- Find out which programs support Native Hawaiians or ethnic activities



## Hawaii Library Services and Technology Act



Hawaii State Public Library System (HSPLS)  
Five Year (LSTA) Plan

includes the following goals:

- Improve access and resource sharing
- Provide new technologies to improve work flow and processes
- Provide outreach services to underserved populations within our State
- Digitize and disseminate unique local records, images, and audiovisual materials

Public comment on the LSTA Plan to  
[hspls@librarieshawaii.org](mailto:hspls@librarieshawaii.org)



## IMLS – Funding categories



- National Leadership Grants for Libraries
  - Advancing Learning Communities
  - Building Digital Resources
  - Research and Demonstration
- Librarians for the 21<sup>st</sup> Century
- 21<sup>st</sup> Century Museum Professionals
- Native Hawaiian Library Services
- Native Hawaiian Museum Services



## IMLS: NLG



- National impact
- Provide models that can be widely adapted or replicated
- Reflect an understanding of current issues and needs
- Creative solutions on issues of national importance and provide leadership for other organizations



## IMLS –Native Hawaiian Library Services



- 2006 Native Hawaiian Library Services
- Basic Grant – May 15, 2006
  - Amount of Grant
  - Varies
  
  - Grant Period
  - One Year



## IMLS –Native Hawaiian Museum Services



- 2006 Native Hawaiian Museum Services

- **Deadline**  
April 1, 2006

**Amount of Grant**  
\$5,000 - \$20,000

**Grant Period**  
Up to Two Years



OCLC Online Computer Library Center



## The Proposal Process



## The Proposal



- What is it?
- A written presentation to another party in order to **gain its acceptance** (and money)



## Elements of a Proposal



- Letter of Transmittal
- Summary/Abstract
- Narrative Statement of the Problem/Need
- Goals/Objectives/Outcomes
- Methodology/Work Plan
- Budget and cost justification
- Evaluation measures
- Supporting Documents



## Functions of a Proposal



- Represents a **program, project, activity**, or **function** that an organization wants to undertake in response to a need
- request for the allocation of resources
- instrument of **persuasion**
- promise to the funder to do certain things in certain ways. Follow their guidelines & rules
- a plan that serves as a guideline for the organization to implement the activity



## Proposal



The proposal as hypothesis

Draft your proposal this way: conversational and engaging.

- We see this need. Do you?
- We think it can be solved this way. Do you?
- We think we can implement the solution. Do you?
- We think the outcomes will be this. Will you work with us to see if that's true?



## The Proposal: Need



- Use facts and statistics, not assumptions
- Focus the need on your community -  
-don't make it too broad – unless statewide – then line up key institutions
- Models
  - if your solution can act as a model, mention this
  - “addressing the need on a larger level through the development of a model program”



## The Proposal: Objectives



Objectives/Goals/Strategies/Outcomes

- What will your program **accomplish**?
- **Derived directly from the need statement**
- Indicate **action and a measurable result**
- **“To” statements** (To develop a curriculum...)
- Measurable
- How would the situation look if the need were satisfied?



## Project example for your library



Case example:

Kona Valley Cultural  
Organization, Lei Public  
Library and Hawaii  
College Library project



## The Proposal: Need Example



- Students in Hawaii need a convenient and effective way to include ethnic materials in their history lessons and social studies curriculums



## The Proposal: Need Example



- What would the results of this solution look like? Plan that
  - Students and teachers
    - will use the digital information in history and social studies,
    - Learn about ethnic groups in our state/region,
    - Understand how to use internet based information to supplement curriculums
  - Students
    - Will be better prepared for educational testing
  - Irreplaceable primary source materials will be preserved



## The Proposal: Objectives



Kona Valley Online History Project

Goal: To provide digitized primary source materials, online curricula and support to teachers and students in our region



## Audience and Users



- Important to define a specific audience
  - General user or visitor
  - K-16 and Life Long Learning
  - Business Community
- How will the digital materials be delivered to these groups?
- How will the impact on the user be measured?



## The Proposal: Objectives



### Online Hawaii History

- Objectives
  - To **increase teacher use** of online resources
  - To **increase teacher comfort** using online resources
  - To **assist students** in meeting **new curriculum standards**



## Kona Valley project vision



- Audience – students, teachers, local residents
- Strategy - Partner to spread costs and build community interest
- Identify potential funding sources – local cultural association/foundation
- Small, pilot project to build data and experience for larger, grant funded project



## Funding goals support a project



- Develop a project budget
- Develop a funding strategy
- Plan, budget, funding are tied together
- All the project costs impact the budget and funding options.



## Costing out the project



- Per page or per item cost
- Training costs
- Staff time and costs
- Project staff paid for with grant \$
- Preservation costs
- Cost of time for research
- Cost of volunteers



## Kona Valley project budget



### Budget elements:

- Staff, volunteers and hourly worker costs
- Costs for equipment
- Costs for contract or vendor activities
- Preservation costs
- Cost out the value of in-kind contributions from partners
  - Equipment, software
- Training costs
- Project administration costs



## Kona Valley project



### Budget spreadsheet:

- Elements listed by month and category
- Costs projections are developed
- Costs include marketing, training and travel when appropriate
- Staff costs are listed even when provided as in-kind contribution



## Budget spreadsheet example

A	B	C	D	E	F	G	H	I	J
		January	February	March	April	May	June	July	August
1	Funding								
2	Internal								
3	Grant								
4	Internal								
5	Partners								
6	Grant								
7	Grant								
8									
9									
10	Grant								
11	Internal								
12	Donation								
13	Donation								
14									
15	Grant								
16	Donation								
17	Donation								
18	Partners								
19									
20	Internal								
21	Internal								
22	Internal								
23	Internal								
24									
25	Donation								
26									
27									
28									
29									
30									
31									
32									
33									
34									

## Kona Valley project



- Project goals and justification
- Budget elements are projected
- Cost factors organized according to funding category.
- Funding option is identified for each category
- Funding need is matched to funding opportunity



## Take Home Concepts



- Design program for internal funding
- Don't rely too much on government funding – it may change
- Local foundations and sources are key to developing an ongoing, robust grants program
- Keep your eyes and ears open for local foundations that are potential funders
  - newspapers, magazines, word of mouth



## Take Home Concepts



- The Proposal
  - project or program proposal elements
  - tweak for equipment and capital projects
- **For either, the goal is similar, to state the problem/need and the solution that you are proposing**
  - clearly, concisely, with the facts to back it up, and the outcomes to highlight the results of the project



## Take Home Concepts



- Follow the grant guidelines carefully
- Read your proposal like you are a reviewer, **or ask someone else to do so**
- Go back to your original proposal idea from this morning. What can you add?



## Take Home Concepts



- **Administering** a grant project is a lot of work
- Reporting, reporting, reporting
- Managing a project and seeing it through to completion is important – consistency and build reputation with funders



## OCLC Western Service Center



### Contacts:

OCLC Western – Gayle Palmer,  
[palmerg@oclc.org](mailto:palmerg@oclc.org)

OCLC Western digital web site  
<http://www.oclc.org/western/services/dpr/>

