ARL Diversity, Equity, and Inclusion Institute: Scaffolding for Sustainable Systemic Change
Narrative

Summary: The Association of Research Libraries (ARL) is requesting $97,737.17 for a one-year Laura Bush 21st Century Librarian Program grant from the Institute of Museum and Library Services (IMLS) in the **Planning** funding category and the **Community Catalysts** project category for research to further the development of a curricular framework and success metrics for a diversity, equity, and inclusion (DEI) institute. The audience for this institute is staff members at academic and research libraries and other memory organizations who have a desire to lead in these areas. The project has several interrelated parts, two of which have been completed by or initiated and funded by ARL and partner library associations:

1) Conducting an environmental scan of existing learning objectives or competency frameworks in DEI, accompanying training, and success metrics or tools used to evaluate the value of the learning opportunities if they exist, due to be completed by September 1, 2020.
2) Leveraging an existing ARL framework for competencies in racial equity jointly scoped by ARL, the American Library Association (ALA), the Association of College and Research Libraries (ACRL), and the Public Library Association (PLA), due to be completed at the end of 2020.
3) Convening a Working Group consisting of content experts in DEI within academic and public or federal research libraries and archives, led by the ARL senior director of diversity and leadership, engaging an accomplished researcher, to analyze the data to develop recommendations for a core curriculum for a DEI Institute; and
4) Developing (under the leadership of ARL senior director of diversity and leadership, the researcher and a Working Group) a curriculum and success metrics and benchmarks to chart the efficacy of the core curriculum for piloting following the planning period and activities supported by this grant.
5) Following the planning period supported by this grant, pilot the institute for the academic and research library community, positioning the project for further customization and iterating to meet the needs of relevant stakeholders.

This project will address two significant needs: 1) access to resources (literature and training), for developing and sustaining diverse, equitable, and inclusive workplaces, and 2) benchmarks to chart the efficacy of DEI capacity building over time. The outputs will be an extensible, implementable curriculum and a set of success metrics for a DEI institute that, following this planning period, will be piloted by ARL for the academic and research library community, and which can also be customized and implemented in a broad range of contexts including public libraries, archives, and other memory and information organizations and institutions.

Statement of Broad Need: ARL, in collaboration with allied organizations, has identified a common need among all research and public libraries for both greater access to resources and programs for developing and sustaining diverse, equitable, and inclusive workplaces, and clear benchmarks to chart the impact of such

programs.[1] Historically, libraries have utilized a variety of *ad hoc* tools, methods, and programs—from workplace climate surveys and human resources best practices, to specialized consultants and staff development—as they have attempted to augment and enhance their capacity as diverse, equitable, and inclusive organizations. The Public Library Association (PLA), for example, articulates equity, diversity, inclusion, and social justice (EDISJ) as a key objective in its 2018-2022 Strategic Plan.[2] The PLA document calls for the identification of measures of impact for training and development that include "competencies that demonstrate progress in key EDISJ areas."[3] In 2012, the Association of College and Research Libraries (ACRL) published their "Diversity Standards" which outlines the cultural competencies needed "to serve and advocate for racially and ethnically diverse constituencies" inclusive of library users and employees.[4] These standards, however, are almost a decade old, and require updates in response to contemporary analyses of the landscape as well as updated theoretical frameworks from which to cultivate and develop similar standards and competencies.

However, there remains little consensus around which programs or approaches work best for developing individuals and organizations and that contribute to systemic change within the library and archives profession. Moreover, there seems to be little consistency about how best to measure success in the near- and long-term. Standalone programs aimed at sustainable transformation, such as the envisioned ARL DEI Institute, with clear benchmarks for true systemic change, remain rare and untested. Many commercial and other entities that provide diversity "training" often boast of successes or provide compelling testimonials about the impact of their content and methodologies, but offer few details regarding the metrics by which they are gauging success.[5] Even more rare is literature indicating the long-term success of training efforts or the impact of efforts at organizational, institutional, or systems levels.[6] This planning grant seeks to address the above needs through leveraging existing preliminary research, conducting an in-depth analysis of the metrics being used by existing DEI programs to gauge impact and success, and inviting expert feedback for the development of a customizable, extensible curricular framework. This framework will be accompanied by an evaluation protocol that will help measure transformations that occur as a result of the training (the DEI Institute) and will establish metrics for long-term tracking of the impact of the training on individuals, institutions, and systems. The evaluation mechanisms will allow individuals and institutions to benchmark their progress in building DEI capacity against others who have also experienced the training.

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[1] See e.g. *Facing Change: Insights from the American Alliance of Museums' Diversity, Equity, Accessibility, and Inclusion Working Group* (AAM, 2018) https://www.aam-us.org/wp-content/uploads/2018/04/AAM-DEAI-Working-Group-Full-Report-2018.pdf

[2] Public Library Association Board of Directors. *PLA Strategic Plan 2018-2022.* Accessed February 24, 2020 at http://www.ala.org/pla/about/mission/strategicplan

[3] Ibid

[4] "Diversity Standards: Cultural Competency for Academic Libraries (2012)" American Library Association, May 4, 2012. http://www.ala.org/acrl/standards/diversity (Accessed February 24, 2020)

[5] As examples, see "White Men as Full Diversity Partners," https://wmfdp.com/ or "Diversity and Inclusion" at Korn Ferry©: https://www.kornferry.com/uk/challenges/diversity-and-inclusion

[6] Kulik, Carol T. and Loriann Roberson. "Common Goals and Golden Opportunity:Evaluations of Diversity Education in Academic and Educational Settings." *Academy of Management Learning & Education,* 2008, Vol. 7, No. 3: 309-331.

Project Design: The primary objective of the planning grant will be to develop an extensible, implementable curriculum for a DEI Institute and a set of accompanying success metrics that, following this planning period, will be piloted by ARL for the academic and research library community, and which can also be customized and implemented in a broad range of contexts including public libraries, archives, and other memory and information organizations.

The project team will include ARL's senior director of diversity and leadership as the project director, a social science researcher (an external consultant, to-be-hired), the ARL program coordinator for grants administration (supported by several other ARL staff), a member of the ARL Diversity, Equity, and Inclusion Committee (DEIC), and a Working Group consisting of four or more individuals with deep content expertise and leadership responsibilities in DEI. In the final quarter of the project timeline (June to September of 2021) a cadre of external "reviewers" will be recruited—experts in DEI theories and training from a broad range of professional sectors—who will provide feedback into the curriculum framework and impact metrics before the project outputs are finalized. The researcher, grounded in quantitative and qualitative methodologies as well as deep knowledge of DEI theories, will apply rigorous social science methodologies throughout. The project director and the researcher will provide a combination of the following: expertise in curriculum design and formative evaluation, domain expertise, analytical skills, access to key decision-makers and partners, and project design skills. ARL has existing relationships with numerous practitioners and institutional entities who are deeply engaged in DEI research and strategy such as DeEtta Jones and Associates, LLC (independent DEI practitioners), the University of Michigan's National Center for Institutional Diversity, the Kirwan Institute for the Study of Race and Ethnicity at the Ohio State University, and others from which we will recruit our principal researcher. A statement of work (position description) will be used to recruit the principal researcher and disseminated broadly. A request for applications will be released immediately upon notification that the IMLS grant funding has been awarded. The researcher will have:

1) A corpus of published literature on the topic of DEI theories and principles
2) Deep expertise (advanced education, PhD preferred) in qualitative and quantitative research methodologies related to curriculum evaluation, outcomes, and impact
3) Content expertise in DEI topics, possibly inclusive of issues related to race/ethnicity, gender equity, accessibility, issues of import to LGBTQI communities, etc.
4) Experience leading research groups and synthesizing project outputs for broad audiences.

A draft of the request for applications and position description for this role has been included in the "Résumés" document, attached. At the same time that the principal researcher is recruited ARL will assemble a Working Group to inform the project. The Working Group will include four or more members with deep content expertise in DEI and leadership responsibilities in ARL member institutions or allied organizations (e.g. ALA, ACRL, PLA), and a member of the ARL Diversity, Equity, and Inclusion Committee. ARL will ensure that representation on this Working Group includes people who identify as Black, Indigenous, and People of Color

(BIPOC) from an Historically Black College and University (HBCU), such as the Howard University Library, or another minority serving institution (MSI) where the library is an ARL member institution.

The project director, the researcher, and the Working Group will meet in person: 1) in the earliest planning stages (first quarter of the award period, from September to November of 2020) to consider the planning grant objectives and anticipated deliverables, and to create processes and norms for providing and soliciting additional external feedback, and 2) towards the conclusion of the project (in the final quarter of the timeline) in order to review the project recommendations, provide input concerning how the deliverables will be packaged (e.g. website materials, electronic documents, sample training videos), and to inform a strategy for piloting, iterating, and revising the DEI Institute curriculum content following the completion of the grant. During the first in-person meeting of the project team, the objectives will be reviewed and processes and norms will be established for completing the work. The Working Group will otherwise meet monthly (using video conferencing technology) with the project director and researcher to track progress and provide input. ARL recognizes that, given the current global pandemic, an in-person meeting of the project team in 2020 may be difficult, if not impossible. However, given the nature of this work, it is critical that relationships and trust are developed among the project team early on, as well as a common understanding about and commitment to the methodologies that will be employed in the process. If circumstances do not allow for the in-person meeting at the initiation of the planning grant, other technology tools will be explored that might best facilitate the work of the group. This will require some budget relocation. An example of a robust, but proprietary tool is [Mural](#) which is currently being experimented with by several consultants and facilitators within the library and archives fields.

The iterative curriculum drafting, the development of success metrics, and the convening of the project team experts (the Working Group members) will be led by the project director, in collaboration with the researcher, to-be-hired. ARL will build on the environmental scan on DEI training curricula and methodologies from a variety of professional sectors recently completed by ARL Visiting Program Officer (VPO) Kiyomi Deards. The project team will utilize the data set created by Deards' investigation in addition to existing curricula, such as the content developed out of the IMLS-funded Project Ready, which focuses on racial equity training developed for youth services and school library and media specialists.[7] The planning will also be informed by a framework for racial equity in libraries and archives currently being developed through a collaboration between ARL, ACRL, ALA, and PLA. This project is being funded by the collaborating organizations and will be completed in late fall 2020 with project outputs being published and disseminated later this year or early 2021. The timeline for the racial equity project will dovetail perfectly with the schedule for this planning grant. Although much of ARL's work leading up to this project has focused on issues of racial equity, it is anticipated that the Institute curriculum will address other pressing issues such as gender equity, accessibility, generational differences, and the like. The researcher will also conduct new research (complementing the research and data set already completed by Deards and augmented by the work of the joint ARL, ACRL, ALA,

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[7] See: Project READY: Reimagining Equity and Access for Diverse Youth. http://ready.web.unc.edu Accessed February 24, 2020.

and PLA task force) and analysis on existing DEI training programs' curricula and best practices for evaluating short- and long-term success.[8] The work plan and strategy for developing the curriculum and success metrics will remain flexible in order to accomodate the knowledge, expertise, and preferences of the researcher, and the needs that will be articulated by the Working Group. For example, a possible approach would be similar to the methodology employed by the IMLS-funded NexusLab Layers of Leadership project of which ARL was a partner. For the *NexusLab*, the project team developed a series of logic models in order to aid in the creation of a framework for leadership development curricula. An appropriate methodology or series of methodologies would be used for the development of the DEI Institute curriculum and success metrics as agreed upon by the entire project team. The format and design of the final deliverables will be informed by the analysis of existing resources and data and in anticipation of the application of the curriculum design and success metrics. For example, some training content may be designed based on the learning outcomes articulated in the aforementioned Project Ready. In this instance, existing training curricula could be referenced through an "annotated bibliography" but also, exercises could be developed for integration into the DEI Institute curriculum that would build off the core principles and theories put forth in Project Ready. In the final months of the planning grant period, the project team will reach out to other known content experts for a period of comment and to field additional questions and considerations about the final project deliverables. This input will be solicited from recognized leaders in libraries and archives, representing a wide variety of institution types and communities of practice and who are committed to DEI principles. ARL will solicit this input from individuals in its vast network of DEI experts and practitioners with related expertise and leadership responsibilities in libraries, archives, museums, and other sectors.

An output of the project will be a series of electronic documents and web resources (a "report") that includes an extensible DEI Institute curriculum and associated success metrics ready to be piloted in support of sustainable systemic change in DEI. The project team will determine if dissemination using alternate platforms might provide greater access to communities who are interested in the project and its approach.

ARL will lead the overall project, be responsible for grant reporting, communications, provide financial support, and provide facilities and infrastructure for all virtual and in-person meetings. The ARL program coordinator for grant administration will provide key logistical and administrative support to help document the planning process, manage logistics for video conferencing and in-person meetings, and assist the project director with budgetary oversight and accounting processes. Other members of the ARL administrative team will assist with in-person meeting logistics, survey development and coordination (if deemed necessary), maintain the project website, format the report or other project deliverables, and other duties as assigned. The ARL senior director of communications or other members of the ARL communications team will ensure that information is widely disseminated regarding the key milestones of the program (i.e. call for applications for the project researcher, call for volunteers to serve on the Working Group, call for comments on the first

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[8] Examples of existing programs include the Racial Equity Institute (REI), DeEtta Jones & Associates' Equity Toolkit, and the IMLS-funded Cultural Competence Learning Institute.

iteration of the curriculum, etc.), and edit the report and other final deliverables. The ARL finance team will manage fund distribution and reimbursements.

For many years, ARL has used an institute model for many of its professional development opportunities such as the Library Management Skills Institutes, the Digital Scholarship Institute, the e-Science Institute, the Leadership Fellows Program, and its longest standing diversity program, the Leadership and Career Development Program (LCDP).[9] The institute model has proven a highly successful approach based on formative and summative assessments of respective programs. This model allows participants to completely immerse themselves in a topic or series of topics for a concentrated period, as well as build community, network, and collaborate. The institute model has proven successful within discrete organizational or institutional contexts, as well as in situations where participants are from a variety of institutions, distributed across geographical boundaries, organizational types (e.g. private vs. public vs. federal libraries), or from a range of functional roles or communities of practice. The intended audience for the initial planning phase of the project and early piloting will be academic and research public libraries and archives, inclusive of employees (in all classifications) in ARL's public and federal library member institutions. It is envisioned that the DEI Institute and its component parts will be designed in such a way that its efficacy would not be compromised were an institution to bring the content to a campus or library. Although, in many ways, there are efficiencies that are created from participation by a number of individuals from a variety of organizations, it is acknowledged that committing staff time and resources toward a multi-day training event that may involve travel and lodging in addition to registration or tuition fees would be cost-prohibitive for many. It is the intent of this planning project to identify topical areas that are most critical to contemporary challenges in DEI for libraries and archives and to map content that either exists or is to-be-developed, according to priorities identified through this research and planning.

Once the content is piloted and evaluated within the academic and research library community, the core project team, in consultation with advisors and experts both external to ARL and those affiliated with the Association's governance structure, will develop other iterations of the DEI Institute. The core institute curriculum will be built on modules that could be administered independently or, where possible, modified to fit with other instructional modalities such as webinars or instructional videos. Where possible, the modules will be linked to open source content for broad use and dissemination to audiences for whom the institute model is not accessible or affordable. Feedback loops will be built into both the design processes, where leaders from target constituencies (audiences for whom the institutes will be designed and customized) will be consulted, as well as evaluation protocols to get feedback from participants about the immediate and long-term (formative and summative) effects of the institute training.

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[9] For additional information regarding ARL's current professional development opportunities, see our webpages on the "ARL Academy": https://www.arl.org/arl-academy/ and "Diversity, Equity, and Inclusion": https://www.arl.org/category/our-priorities/diversity-equity-inclusion/

Although beyond the timeline of this grant project and the initial stages of piloting, the DEI Institutes will be directed by the ARL senior director of diversity and leadership informed by input and expertise from members of an Advisory Group, possibly populated with some members of the Working Group for the planning grant. This Advisory Group will be charged with informing decisions regarding needed research and development. The DEI Institute will be evaluated annually as part of the Association's program plan evaluation with results and recommendations reported to the ARL executive director and, as appropriate, to the ARL Board. A formal review will take place in two to three years years. Once the DEI Institute launches, external expertise will be engaged to cover any gaps in knowledge, skills, and expertise needed to sustain and move the Institute forward. Moreover, the DEI Institute will seek to expand the scope of the audience and content once the proof of concept has been tested, evaluated, and revised, to be inclusive of smaller public libraries and archives, historical societies, and possibly museums and other communities of practice within the memory, cultural heritage, and information professions.

The DEI Institute planning straddles exploratory and piloting stages of maturity. Much of the research will occur prior to the initiation of this project (i.e. the environmental scan and dataset of existing DEI training and the framework for cultural proficiencies in racial equity to be completed by the combined task force of library associations). The development of the institute curriculum and the investigation of key success metrics will be the focus of this planning grant. Piloting of the DEI Institute, to include mapping of the curriculum to content and training experts, may commence within the planning grant period if the project reaches that stage of development and maturity. Implementation of the DEI Institute, evaluation, and further iteration will comply with ARL policies and procedures and would be complementary to planning grant activities. No planning grant funds would be used to launch the effort. The ultimate measure of success for the project will be the extent to which institutions or groups of institutions commit to piloting the DEI Institute following completion of the project as well as the perceived efficacy of the curriculum as indicated by formative evaluations. In terms of measures of success for the planning grant, the ability to complete all grant deliverables (recruitment of an outside researcher; appointment to and commitments from a diverse group to serve on the Working Group; the development of the extensible, modular curriculum, and securing constructive input from additional outside experts from within the field) within the allotted yearlong period will serve as key markers for success.

The DEI Institute curriculum and supplemental materials, including reports and datasets, will be made openly available through a project website to be created and maintained by ARL. Information regarding milestones in the project timeline (i.e. the selection of the project researcher and Working Group) as well as the final report will be broadcast through ARL's marketing mechanisms (ARL news items), potentially reported out in *Research Libraries Issues,* ARL's quarterly newsletter, and shared on social media channels. ARL also communicates regularly with stakeholder groups from other professional associations such as the five ethnic caucuses of ALA, the ACRL Staff Development and Personnel Administrator's Discussion Group, the ALA Spectrum Scholarship Program, as well as entities with leadership responsibilities in DEI from organizations such as the Society of American Archivists, the Association of Southeastern Research Libraries, and international audiences as well. ARL will seek out opportunities to discuss and broadcast completion of the work at national or regional

professional meetings during panel presentations, poster sessions, and similar venues. Opportunities to publish on the project methodology and outputs in trade publications such as *Library Journal* or *The Chronicle of Education*. It is anticipated that all published and supplementary materials will provide sufficient detail about the planning process and project evolution for interested parties to understand or even replicate the work in other domains.

Outputs of this project are to be disseminated broadly and licensed using a Creative Commons Attribution-NonCommercial-NoDerivatives 4.0 International (CC BY-NC-ND 4.0) license and may include: the dataset compiled by ARL VPO Kiyomi Deards containing summaries of DEI training programs and events; a project annotated bibliography with literature and resources on the topic of evaluation measures for DEI training; and a report with an extensible DEI curriculum and associated metrics that will serve as a framework for design and customization of the DEI institute.

ARL has a long history of successfully designing and implementing diversity recruitment programs, several of which have been funded by IMLS. In all instances, anticipated project outputs have been met but, in most instances, have been exceeded by the Association. ARL's team-based structure allows for maximum efficiency in managing grant-funded (and other) projects and includes designated personnel responsible for coordinating the work associated with this planning grant. The design of this project includes leadership from ARL's senior director of diversity and leadership programs as well as commitments from the ARL executive director. This level of commitment to planning is rarely seen in other associations and will help to ensure that commitments to the DEI institute continue long past the period of grant funding. It is anticipated that the DEI institute will be fully-integrated into the training portfolio of the association, most likely aligned with the ARL Academy, which articulates the need to foster "mastery of cultural, diversity, equity, and inclusion competencies."[10]

Please note: since the original submission of this planning grant and the acceptance of the proposal for the second round of review, the ARL senior director of diversity and leadership (Mark A. Puente) has announced his impending departure from the Association. If this planning grant is awarded, Puente will either remain the project director for the grant (as an independent consultant) or will serve on the Working Group in order to ensure that there is continuity in the development and management of the project. In either scenario there will be no substantive implications for the budget, timeline, or the anticipated deliverables.

Diversity Plan: This planning grant for an ARL DEI Institute is, at its core, a project that will address the needs for the library workforce to be proficient within and committed to issues as they relate to DEI in libraries and other cultural heritage and information institutions. The project will intentionally engage a diverse set of contributors and stakeholders with a range of personal identities, expertise, and contributions toward developing a model for engagement and transformation that will lead to enduring systemic change within the profession and society. The ARL DEI Institute, once piloted, iterated, and refined, will support the recruitment,

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[10] See: "ARL Academy" https://www.arl.org/arl-academy/ accessed March 30, 2020.

retention, and development of a diverse workforce by providing a framework and practical tools for developing and sustaining authentically inclusive libraries and archives where people of color and those from other underrepresented and marginalized communities will be able to survive, thrive, and succeed. Moreover, the content will focus on the development of skills, knowledge, and competencies that will allow library and archive employees to better serve an increasingly diverse population with rapidly evolving information and cultural needs. Input from the communities whose experiences the DEI Institute will seek to address will be key to the success of the project. The scope of the project with respect to content will be honed and prioritized based on the data collected (existing theoretical frameworks and training methodologies) and analyzed, with input from the Working Group and the broad network of experts employed within ARL member organizations and others with whom we collaborate regularly in this space. It is possible that gaps in content and training experiences will be identified through this project, and ARL will commit to further research and development for topical areas that have not been sufficiently addressed in existing literature and programs.

Broad Impact: With the outputs of this planning grant, ARL member libraries and aligned institutions can begin to pilot and iterate the modular curriculum and metrics for sustaining diverse, equitable, and inclusive workplaces. The project will help identify and prioritize content that has the greatest potential for effecting systemic change in DEI for memory and information organizations. The modular nature of the institute design will ensure that the experience can be customized to meet specific training needs for library and archives staff (i.e. training in accessibility for the print disabled, or lessons in understanding gender equity and expression) while simultaneously providing options for a comprehensive and immersive experience for audiences with the capacity to make that type of commitment. Because ARL's institutional membership spans the US, across every region and 39 states and the District of Columbia, the potential reach of the DEI Institute in the piloting stage, could be expansive. Following a period of implementation, iteration, and evaluation, and as a business/financial model for the institute becomes codified, the program will be portable and accessible to a greater range of stakeholders. Mapping the topical priorities to existing, where possible, open source content will ensure that the broadest possible audience is able to access and implement the resources. Ultimately, all types of libraries, archives, and other cultural heritage institutions will be able to come together and compare short- and long-range data and methods for collective benefit. This project will define what ARL can offer to further the common good through fostering leadership skills and critical competencies to advance DEI. The project will serve as a model for other library, archive, and cultural heritage organizations. ARL is a national leader in the field of DEI recruitment and leadership development and has successfully implemented IMLS and other grants.

Budget Summary: ARL seeks partial support for the salaries and fringe benefits of the project director (the senior director of diversity and leadership programs) and ARL administrative, finance, and communications staff ($22,951.97). ARL will recruit and coordinate the involvement of an external researcher for the duration of the grant ($46,800). Grant funds will also cover travel for the project director and researcher, and provide travel assistance for the Working Group for two in-person meetings ($16,600) scheduled at the onset of the project and during the final quarter of the project calendar. ARL requests funds to support meeting materials,

copying, supplies, and technology ($2,500). Total of all direct costs = $88,851.97 + $8,885.20 (= 10% of total direct costs) = $97,737.17.

ARL Diversity, Equity, and Inclusion Institute: Scaffolding for Sustainable Systemic Change
Schedule of Completion

Year 1 (September 2020–August 2021)	September 2020	October 2020	November 2020	December 2020	January 2021	February 2021	March 2021	April 2021	May 2021	June 2021	July 2021	August 2021
Release Call for Applications for Project Researcher	▓											
Release Call for Applications and Nominations to serve on Working Group	▓											
Project Researcher and Working Group members selected		▓										
Kick-off project team video conference			▓									
In-person meeting of project team				▓								
Project team video conference					▓							
Project team video conference						▓						
Project team video conference							▓					
Draft curriculum/evaluation framework completed								▓				
Materials shared with external reviewers for comment									▓			
In-person meeting of project team										▓		
Design/layout of materials											▓	
Culminating curriculum documented/disseminated												▓
Culminating set of success metrics documented/disseminated												▓

DIGITAL PRODUCT FORM

INTRODUCTION

The Institute of Museum and Library Services (IMLS) is committed to expanding public access to digital products that are created using federal funds. This includes (1) digitized and born-digital content, resources, or assets; (2) software; and (3) research data (see below for more specific examples). Excluded are preliminary analyses, drafts of papers, plans for future research, peer-review assessments, and communications with colleagues.

The digital products you create with IMLS funding require effective stewardship to protect and enhance their value, and they should be freely and readily available for use and reuse by libraries, archives, museums, and the public. Because technology is dynamic and because we do not want to inhibit innovation, we do not want to prescribe set standards and practices that could become quickly outdated. Instead, we ask that you answer questions that address specific aspects of creating and managing digital products. Like all components of your IMLS application, your answers will be used by IMLS staff and by expert peer reviewers to evaluate your application, and they will be important in determining whether your project will be funded.

INSTRUCTIONS

If you propose to create digital products in the course of your IMLS-funded project, you must first provide answers to the questions in **SECTION I: INTELLECTUAL PROPERTY RIGHTS AND PERMISSIONS.** Then consider which of the following types of digital products you will create in your project, and complete each section of the form that is applicable.

> ### SECTION II: DIGITAL CONTENT, RESOURCES, OR ASSETS
> Complete this section if your project will create digital content, resources, or assets. These include both digitized and born-digital products created by individuals, project teams, or through community gatherings during your project. Examples include, but are not limited to, still images, audio files, moving images, microfilm, object inventories, object catalogs, artworks, books, posters, curricula, field books, maps, notebooks, scientific labels, metadata schema, charts, tables, drawings, workflows, and teacher toolkits. Your project may involve making these materials available through public or access-controlled websites, kiosks, or live or recorded programs.
>
> ### SECTION III: SOFTWARE
> Complete this section if your project will create software, including any source code, algorithms, applications, and digital tools plus the accompanying documentation created by you during your project.
>
> ### SECTION IV: RESEARCH DATA
> Complete this section if your project will create research data, including recorded factual information and supporting documentation, commonly accepted as relevant to validating research findings and to supporting scholarly publications.

SECTION I: INTELLECTUAL PROPERTY RIGHTS AND PERMISSIONS

A.1 We expect applicants seeking federal funds for developing or creating digital products to release these files under open-source licenses to maximize access and promote reuse. What will be the intellectual property status of the digital products (i.e., digital content, resources, or assets; software; research data) you intend to create? What ownership rights will your organization assert over the files you intend to create, and what conditions will you impose on their access and use? Who will hold the copyright(s)? Explain and justify your licensing selections. Identify and explain the license under which you will release the files (e.g., a non-restrictive license such as BSD, GNU, MIT, Creative Commons licenses; RightsStatements.org statements). Explain and justify any prohibitive terms or conditions of use or access, and detail how you will notify potential users about relevant terms and conditions.

A.2 What ownership rights will your organization assert over the new digital products and what conditions will you impose on access and use? Explain and justify any terms of access and conditions of use and detail how you will notify potential users about relevant terms or conditions.

A.3 If you will create any products that may involve privacy concerns, require obtaining permissions or rights, or raise any cultural sensitivities, describe the issues and how you plan to address them.

SECTION II: DIGITAL CONTENT, RESOURCES, OR ASSETS

A.1 Describe the digital content, resources, or assets you will create or collect, the quantities of each type, and the format(s) you will use.

A.2 List the equipment, software, and supplies that you will use to create the digital content, resources, or assets, or the name of the service provider that will perform the work.

A.3 List all the digital file formats (e.g., XML, TIFF, MPEG, OBJ, DOC, PDF) you plan to use. If digitizing content, describe the quality standards (e.g., resolution, sampling rate, pixel dimensions) you will use for the files you will create.

Workflow and Asset Maintenance/Preservation

B.1 Describe your quality control plan. How will you monitor and evaluate your workflow and products?

B.2 Describe your plan for preserving and maintaining digital assets during and after the award period. Your plan should address storage systems, shared repositories, technical documentation, migration planning, and commitment of organizational funding for these purposes. Please note: You may charge the federal award before closeout for the costs of publication or sharing of research results if the costs are not incurred during the period of performance of the federal award (see 2 C.F.R. § 200.461).

Metadata

C.1 Describe how you will produce any and all technical, descriptive, administrative, or preservation metadata or linked data. Specify which standards or data models you will use for the metadata structure (e.g., RDF, BIBFRAME, Dublin Core, Encoded Archival Description, PBCore, PREMIS) and metadata content (e.g., thesauri).

C.2 Explain your strategy for preserving and maintaining metadata created or collected during and after the award period of performance.

C.3 Explain what metadata sharing and/or other strategies you will use to facilitate widespread discovery and use of the digital content, resources, or assets created during your project (e.g., an API [Application Programming Interface], contributions to a digital platform, or other ways you might enable batch queries and retrieval of metadata).

Access and Use

D.1 Describe how you will make the digital content, resources, or assets available to the public. Include details such as the delivery strategy (e.g., openly available online, available to specified audiences) and underlying hardware/software platforms and infrastructure (e.g., specific digital repository software or leased services, accessibility via standard web browsers, requirements for special software tools in order to use the content, delivery enabled by IIIF specifications).

D.2. Provide the name(s) and URL(s) (Universal Resource Locator), DOI (Digital Object Identifier), or other persistent identifier for any examples of previous digital content, resources, or assets your organization has created.

SECTION III: SOFTWARE

General Information

A.1 Describe the software you intend to create, including a summary of the major functions it will perform and the intended primary audience(s) it will serve.

A.2 List other existing software that wholly or partially performs the same or similar functions, and explain how the software you intend to create is different, and justify why those differences are significant and necessary.

Technical Information

B.1 List the programming languages, platforms, frameworks, software, or other applications you will use to create your software and explain why you chose them.

B.2 Describe how the software you intend to create will extend or interoperate with relevant existing software.

B.3 Describe any underlying additional software or system dependencies necessary to run the software you intend to create.

B.4 Describe the processes you will use for development, documentation, and for maintaining and updating documentation for users of the software.

B.5 Provide the name(s), URL(s), and/or code repository locations for examples of any previous software your organization has created.

Access and Use

C.1 Describe how you will make the software and source code available to the public and/or its intended users.

C.2 Identify where you will deposit the source code for the software you intend to develop:

Name of publicly accessible source code repository:

URL:

SECTION IV: RESEARCH DATA

As part of the federal government's commitment to increase access to federally funded research data, Section IV represents the Data Management Plan (DMP) for research proposals and should reflect data management, dissemination, and preservation best practices in the applicant's area of research appropriate to the data that the project will generate.

A.1 Identify the type(s) of data you plan to collect or generate, and the purpose or intended use(s) to which you expect them to be put. Describe the method(s) you will use, the proposed scope and scale, and the approximate dates or intervals at which you will collect or generate data.

A.2 Does the proposed data collection or research activity require approval by any internal review panel or institutional review board (IRB)? If so, has the proposed research activity been approved? If not, what is your plan for securing approval?

A.3 Will you collect any sensitive information? This may include personally identifiable information (PII), confidential information (e.g., trade secrets), or proprietary information. If so, detail the specific steps you will take to protect the information while you prepare it for public release (e.g., anonymizing individual identifiers, data aggregation). If the data will not be released publicly, explain why the data cannot be shared due to the protection of privacy, confidentiality, security, intellectual property, and other rights or requirements.

A.4 What technical (hardware and/or software) requirements or dependencies would be necessary for understanding retrieving, displaying, processing, or otherwise reusing the data?

A.5 What documentation (e.g., consent agreements, data documentation, codebooks, metadata, and analytical and procedural information) will you capture or create along with the data? Where will the documentation be stored and in what format(s)? How will you permanently associate and manage the documentation with the data it describes to enable future reuse?

A.6 What is your plan for managing, disseminating, and preserving data after the completion of the award-funded project?

A.7 Identify where you will deposit the data:

Name of repository:

URL:

A.8 When and how frequently will you review this data management plan? How will the implementation be monitored?