

Path to Leadership: National Forum on Advancing APIA Librarianship

SUMMARY

The Chinese American Librarians Association (CALA), in partnership with the Asian/Pacific American Librarians Association (APALA), seeks \$100,000 in funding from an IMLS LB21 National Forum Grant in the Lifelong Learning project category for *Path to Leadership: National Forum to Advance Asian/Pacific Islander American Librarianship*.

The *Path to Leadership: National Forum to Advance Asian/Pacific Islander American Librarianship* (henceforth referred to as *Path to Leadership National Forum*) will 1) discuss the current representation of Asian/Pacific Island American (APIA) workers in the library field; 2) identify specific leadership traits of APIA librarians; 3) explore barriers to leading and brainstorm solutions; and 4) begin to build a framework for a leadership development curriculum that identifies and meets the needs of APIA workers. The *Path to Leadership National Forum* will also 5) build community by live streaming sessions to actively engage members of our profession who are interested in learning about APIA leadership and will provide a dedicated space for APIA library workers to network and build relationships with each other across libraries and positions.

Funding from IMLS will result in 50 grants for LIS students, library workers at all levels and educators to attend the *Path to Leadership National Forum*. Following participation, attendees will continue to build on the *Forum* work through a series of virtual monthly meetings, followed by a final gathering at the ALA Annual Conference 2022, both also supported with IMLS funding. Strategies and ideas generated in the *Path to Leadership National Forum* will be captured in a white paper which will be submitted to an open access journal. The white paper will lay the groundwork for the development of an APIA-specific leadership development curriculum. In addition, webinars sharing the findings of the forum and the white paper will be offered throughout the year following the grant period.

A. STATEMENT OF BROAD NEED

According to a 2017 report, APIA librarians make up approximately 4% of the profession and account for 5.6% of the nation's population. Data from the most recent 2020 Association of LIS Education (ALISE) Statistical Report indicate similar findings for graduate students, with Asian MLIS students at 3.3%, and Native Hawaiians/Pacific Islanders a mere 0.1%.¹ APIA librarians are important members of the profession and are critical lifelines to the multitude of APIA communities that libraries serve. The U.S. Census Bureau projects that the Asian American population is expected to increase rapidly and is estimated to account for 9.3% of the total

¹ALISE (2021). *2020 Statistical report trends and key Indicators in library and information science education*. Retrieved from https://ali.memberclicks.net/assets/documents/statistical_reports/2020/ALISE%202020%20Statistical%20Report%20Summary%20Final_Revised%2020210106.pdf

population by 2060.² This is clear evidence that the number of APIA librarians is currently low and must increase to meet the needs of the growing community. Finally, a 2015 study outlined how Asian Americans are disproportionately underrepresented in library leadership positions.³

In a profession that is predominately white,⁴ CALA and APALA recognize the importance of supporting APIA library workers in both leadership and formal management roles. Leadership development for members has been a core value of both organizations. In 2019, CALA members identified leadership development as a key area of interest⁵ and it was incorporated in both the 2015-2020 and the 2020-2025 strategic plans. APALA's 2016-2021 strategic plan also stressed the importance of "cultivat[ing] APIA leadership and engagement and actively mentor[ing] colleagues to become leaders."⁶ There are many challenges to attaining leadership for APIA library professionals, including structural and systemic racism in our libraries and institutions, and other barriers that we will identify through the survey instrument and forum.

Anecdotally, many APIAs in our field share their desire for career enhancement and to have a voice in decision making, but are often overlooked and passed over for leadership roles and high profile projects. Many describe their careers crashing to a halt when they suddenly encounter the "bamboo ceiling," which creates an impenetrable barrier to advancement.⁷ South Asian American librarians have described the lack of role models and support in the profession.⁸ Chinese American librarians pointed out the on-going frustration over failure to be promoted to leadership positions in the profession,⁹ and Ruan and Xiong (2008) also revealed barriers presented to Chinese American librarians intending to move up to leadership positions.¹⁰ Although some of these studies were completed years ago, barriers still exist and advancement to leadership positions still eludes APIA. Identifying the barriers would provide a framework to address them through collective solutions. Finally, there is a greater need for more research that is inclusive of the many different AAPI populations and groups, as several of the cited studies focus only on Chinese American librarians.¹¹

² Vespa, J., Armstrong, D. M., & Medina, L. (2018). *Demographic turning points for the United States: Population projections for 2020 to 2060*. Washington, DC: US Department of Commerce, Economics and Statistics Administration, US Census Bureau.

³ Zhou, J., Zhou, G., Zhou, A., & Zhou, M. (2015). Asian/Pacific librarians career choices: A mixed method study. *Journal of Library & Information Science*, 41(1), p. 1-19.

⁴ Librarians (2017). *Diversity*. Retrieved from <https://datausa.io/profile/soc/librarians#ethnicity>

⁵ Xiong, J.A., & et al. (2019). Scoping the Chinese American Librarians Association services with a national survey. *International Journal of Librarianship*, 4(1), 38-58. Retrieved from <https://journal.calaijol.org/index.php/ijol/article/view/98/193>

⁶ APALA (2020). *Strategic Plan (2016-2021)*. Retrieved from <https://www.apalaweb.org/about/strategic-plan/>

⁷ Hyun, J. (2005). *Breaking the bamboo ceiling: Career strategies for Asians*. New York: Harper Collins.

⁸ Mody, N., Nataraj, L., Singh, G., & Worcester, A. (2018). The other Asian: Reflections of South Asian Americans in libraryland. In *Pushing the margins: Women of color and intersectionality in LIS* by Pho, A. and Chou, R. (2018). Sacramento, CA: Library Juice Press.

⁹ Tan, W. (1998). Advancing Chinese American leadership in library field. *Journal of Library & Information Science*, 24(2), p. 1-6.

¹⁰ Lian, R., & Xiong, J. A. (2008). Career choices and career advancement: Chinese American librarians in the 21st century. Retrieved from https://opensiuc.lib.siu.edu/cgi/viewcontent.cgi?article=1032&context=morris_articles

¹¹ Le, B. P. (2015, March). Attainment of academic library leadership by Asian Americans: Challenges and development in the ACRL 2015 Conference Proceeding, p. 28.

CALA and APALA believe that empowered APIA library staff can influence decisions and advocate for our Asian Pacific Islander American communities, regardless of position or title, as leaders often lead from the middle. APIA leaders deserve to have a seat at the table, as they significantly benefit our library organizations and the profession as a whole. As we know, representation matters, and library users who see leaders who share cultural values and appearance often have more positive and enriching experiences with our institutions. APIA leaders develop deep and trusting relationships with members of the APIA community and are able to ensure that our collections and programs are culturally relevant. Finally, APIA leaders continue to push for equity, diversity and inclusion initiatives and social justice values and can advocate for the needs of APIA staff and community.

There are many library leadership programs in the United States designed for the development of librarians. The ALA Leadership Institute is aimed at mid-career librarians ready to assume higher administrative or managerial roles. The Harvard Leadership Institute for Academic Librarians (LIAL) focuses on important leadership concepts and the practical challenges of leading and managing. The Association of Research Libraries (ARL) Leadership Fellows program, develops and prepares the next generation of senior library and archival leaders. Most of these programs have a majority of white participants and lack diverse racial representation. As a result, there is difficulty focusing on specific challenges and barriers faced by Black, Indigenous and People of Color (BIPOC) librarians, not to mention, by APIA librarians. The ARL Leadership and Career Development Program, offered every 2-3 years, prepares mid-career librarians from historically underrepresented racial and ethnic groups to take on leadership roles and is the only program we are aware of that is geared specifically for BIPOC.

A library leadership program exclusively dedicated to APIA library workers of all types does not exist. CALA and APALA believe this is a gap that needs to be filled, as we are often not recruited into traditional library leadership programs or given access to culturally competent leadership development curriculum. We envision a program that acknowledges our shared commonalities as APIA well as our differences; that celebrates our unique strengths. Through the *Path to Leadership National Forum* CALA and APALA will identify specific barriers APIA librarians encounter in the quest to advance; determine if these barriers are based on racial or ethnic bias or stereotypes; tabulate leadership traits specific to APIA librarians (that may not be recognized by the majority culture); and begin to build a framework for a leadership development curriculum that “grows our own” into library leadership positions¹² with support and encouragement while retaining their culture, identity and values.

B. PROJECT DESIGN

¹²Jian-zhong “Joe” Zhou, “Leadership achievement gap of Asian/Pacific American librarians.” (Ed. D. diss., California State University, Sacramento, 2012).

https://csusdspace.calstate.edu/bitstream/handle/10211.9/1890/zhouj%20Sept24_2012.pdf?sequence=10

The project will include a pre and post assessment survey, a national forum entitled *The Path to Leadership National Forum* with a reunion six months later, a white paper, and a series of monthly discussions focused on leadership topics that have been identified through both the survey and the forum.

Survey: Prior to attending the forum, CALA and APALA will disseminate a survey to collect data from participants, focused on their experiences with leadership in the library field. A survey will also be deployed six months after the forum to identify how/if participants were impacted by participation in the forum. The survey findings will provide data on the impact of the forum as well as benchmarks from participants' experiences in areas that may not have been covered in the forum.

Forum: *The Path to Leadership National Forum* will include one keynote speaker, a panel of APIA library leaders, and a brainstorming session with participants. The invited keynote speaker, Patricia "Patty" Wong, City Librarian at Santa Monica Public Library and ALA President-Elect, was selected due to her extensive history and work supporting and leading APIA library professionals throughout her career. As both an APALA and CALA past president, and as the first Asian American elected President of American Library Association, Ms. Wong is able to speak to the history and current state of APIA leadership and barriers while providing inspiration and guidance to participants. The panel of APIA library leaders will be identified by the Co-Project Directors and Advisory Board, and will reflect the diversity of APIA ethnicities. Panelists will center their experiences with leadership and highlight how they conquered obstacles, attained leadership and influence and opportunities that need to be addressed in our field. Their lived experiences and stories will help participants understand the difficulty of the unspoken rules of leadership in our profession and how organizational culture based on white systems of functioning can contribute to loss of confidence and imposter syndrome.¹³ *The Path to Leadership National Forum* will have two co-facilitators of APIA heritage who will guide these conversations, Dr. Ling Hwey Jeng and Alanna Aiko Moore. Dr. Ling Hwey Jeng has hosted diversity and equity professional development training and has familiarity with the cultural background, mission and goals of both CALA and APALA. Alanna Aiko Moore, a past APALA President, is a well-known facilitator on issues of implicit bias and cross-cultural communication, and has a deep commitment to social justice.

White Paper: Data from the forum will be synthesized to create a white paper that addresses the current experiences of APIA library workers in leadership roles as well as a potential curriculum outline focused on building a leadership development program for APIA library workers.

¹³Nataraj, L., Hampton, H., Matlin, T. R., & Meulemans, Y. N. (2020). "Nice white meetings": Unpacking absurd library bureaucracy through a critical race theory lens. *Canadian journal of academic librarianship/Revue canadienne de bibliothéconomie universitaire*, 6, p. 1-15.

Community: Through small group brainstorming sessions at the forum as well as multiple virtual gatherings held after the forum, APALA and CALA will encourage networking and community building in order to offer participants opportunities to collaborate, support each other and share ideas.

The following questions will guide the design of the project:

Guiding Question: What are the current needs and barriers in leadership development among APIA library workers and within APIA groups?

Objective 1: Assess the needs of APIA library workers interested in leadership work and identify current APIA library leaders and directors in order to understand their leadership journey and perspective.

Activity 1: Prior to the forum, a survey will be developed and sent to both association membership and to other listservs to understand the opportunities and barriers in leadership roles experienced by APIA library workers.

Guiding Question: What do current APIA leaders perceive as most beneficial in overcoming barriers and developing leadership?

Objective 2: Identify leadership paths and barriers from current APIA library leaders.

Activity 2: Forum participants will hear from an invited speaker and participate in panel discussions to share opportunities, challenges, experiences and paths to leadership.

Guiding Question: How can APIA focused library associations such as CALA and APALA better serve communities of APIA library workers in developing leadership and management opportunities and skills?

Objective 3: Understand APIA librarians' perspective on how CALA and APALA could provide a leadership development program that is tailored to APIA librarians through networking and shared experiences.

Activity 3: Participants will participate in brainstorm sessions to reflect on the survey analyses conducted by the co-Project Directors, an invited speaker and panel conversation and come up with an outline for a curriculum focusing on a leadership program tailored specifically for APIA library workers.

Outcomes

Outcome 1: Participants will identify barriers and paths to leadership from experiences shared by current APIA leaders as well as their own experiences in the profession.

Outcome 2: Participants will contribute to the development of a leadership program curriculum tailored specifically for APIA library workers based on the forum's discussions.

Outcome 3: Participants will form and participate in a networking community to support and share their leadership development experiences.

Personnel

Project Directors (see Project Staff document for additional details): The *Path to Leadership National Forum* will be led by Co-Project Directors Dr. Raymond Pun, (APALA President 2021-2022); Wenli Gao, (CALA President 2021-2022); Lessa Pelayo-Lozada, (APALA Executive Director); and Dr. Lian Ruan, (CALA Executive Director). Project Directors will coordinate with the Advisory Board and Task Force on planning, implementing and assessing the project.

Advisory Board: CALA and APALA identified and confirmed the following Advisory Board members to guide the development of the forum. These members and the additional four (yet to be selected) represent a wide diversity of APIA ethnicities and include library school students, librarians, library staff, middle managers, LIS educators and library directors. Advisors also come from a variety of library and library related settings.

- Jeannie Chen - Recent MLIS graduate
- Pearl Ly - Director/Dean, Palomar Community College (CA)
- Ariana Hussain - School Librarian, The Blake School (MN)
- Miriam Tulliao - Library Marketing Manager, Penguin Random House (NY)
- Candice Wing-yeek Mack - Administrator for Teen Services, Los Angeles Public Library (CA)
- Leo Lo - Associate Dean for Learning, Undergraduate Services and Commonwealth Campus Libraries, Pennsylvania State University (PA)

Task Force: CALA and APALA will jointly form a taskforce for this project who will do logistical work such as web design, finance management, forum registration, and project development. Other roles and responsibilities of taskforce members will be expanded as work is identified.

Planning Phase and Timeline

Planning and preparation for the *Path to Leadership National Forum* will begin with a meeting of the Project Directors and Co-Facilitators. The program structure and activities will be finalized by the above individuals and the Advisory Board. The Project Directors will form a *Path to Leadership National Forum* Taskforce to assist with the planning and execution of the project. Taskforce members will be appointed jointly from CALA and APALA. Working closely with Project Directors, the Taskforce will create the participant application form, selection rubric, and online submission site, for approval by the Advisory Board. The application for the Forum will be distributed through the listservs for APALA, CALA and other National Associations of Librarians of Color (NALCo), Spectrum Scholar listserv, the We Here space on social media, other library and committee listservs, and ALA Connect to ensure broad outreach to APIA librarians and students. The application will be explicit about welcoming all APIA peoples to ensure representation from a variety of backgrounds and participation is not limited to

CALA or APALA membership. Applications will be accepted in October, 2021 and participants will be notified by November, 2021. The Project Directors will work with the Taskforce to design the assessment pre-survey in September, 2021 and will begin collecting data in October, 2021. After analyzing the survey results, the forum agenda will be developed by Project Directors and the Advisory Board in November-December, 2021. A pre-forum virtual orientation will center the forum's goals and expectations for all participants and for this project and answer participant questions.

Execution Phase

The *Path to Leadership National Forum* will take place in conjunction with *LibLearnX: The Library Learning Experience (LLX)* in San Antonio, TX on January 20, 2022. The forum will consist of at least 50 participants who are funded by the IMLS grant. Participation may be expanded to include those who can self-fund their participation. Keynote speaker Patricia “Patty” Wong will lead a high level discussion on the challenges, barriers and opportunities for leadership for APIA library workers. The Panel discussion will feature current APIA library leaders who will share their own stories and experiences--both successful and not--on their path to leadership. Participants will participate in small group brainstorming sessions to reflect on the survey analysis keynote speaker and panel conversations. Participants will share how their own experiences align to these perspectives and what types of resources, advice or support they need to support their leadership and management aspirations. Participants will also meet in small groups to begin constructing an outline for a curriculum on an APIA leadership development program. This curriculum outline can be used by LIS educators/trainers to expand and support APIA library workers interested in leadership work.

Tentative Program Agenda

9:00 am – Welcome. 9:15am – Icebreaker and Introductions. 10:00 am – Invited Keynote Speaker. 11:00 am – Brainstorming Session. 12:30 pm – Working Lunch.	1:30 pm – APIA Leaders Panel Discussion. 3:00 pm – Brainstorming Session. 5:00 pm – Concluding Thoughts and Adjournment.
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After the forum, monthly virtual discussions will take place from March, 2022 to May, 2022 online to expand on ideas generated during the forum. Each virtual discussion will feature a topic from the forum, and will include guided discussions to allow participants to exchange ideas. Anonymized notes will be collected from these discussions for further analysis.

During this time period, Project Directors will also analyze the draft curriculum outline for an APIA leadership development event that was generated during the forum. They will refine the curriculum and ask the Advisory Board for feedback. The last step will be gathering feedback on the draft curriculum from forum participants, CALA and APALA members, and the wider APIA

library community. Finally, in June, 2022 at the ALA Annual Conference, CALA and APALA will host a networking reunion event for both forum and non-forum participants to build community, and present findings that have been compiled up to this point.

Dissemination Phase

The themes and experiences will be documented in a white paper that will discuss the identified barriers to leadership for APIAs in the profession, possible opportunities to address these barriers, leadership traits specific to APIA communities, and a draft framework for an APIA leadership development curriculum. All discussions and responses from the survey, brainstorming sessions and anecdotal discussions will be anonymized to ensure confidentiality and privacy. Project Directors will write and disseminate the white paper and report through the project website, listservs, and social media channels. The white paper will be submitted to CALA's open access journal *International Journal of Librarianship* (IJOL) for publication in December 2022, and will be complemented by dedicated articles in both CALA's and APALA's 2022 newsletters. Finally, the leadership curriculum will be shared with both associations to continue the progress toward building a culturally appropriate leadership development program for APIA library workers.

CALA will designate its president program at ALA annual to share knowledge from the *Path to Leadership National Forum*. Three forum participants will discuss their experiences, insights gained, and next steps forward. The CALA president's program will be open to all ALA attendees. In addition, the findings may be shared upon proposal acceptance at the 2022 Joint Conference on Librarians of Color (JCLC) conference, a conference organized by the five National Associations of Librarians of Color (NALCo). Webinars showcasing the white paper and findings from the forum will occur in fall 2022. These webinars will be open to all attendees interested in learning about the findings from this project regardless of affiliations.

Evaluation Phase

These outcomes will be evaluated and measured throughout the entire project. First, there will be forum evaluations. At the end of the forum, participants will provide feedback through an anonymous survey with likert scale questions and open responses. The discussions will also be transcribed into coded data points. Project Directors and the Advisory Board will review and compile the data. The descriptive data will be transcribed and translated into a working document which will become part of the white paper. The experiences covering opportunities and barriers will be coded into key themes in the survey that will highlight actionable steps and considerations for readers thinking of expanding leadership opportunities to APIA library workers. There will be evaluations on virtual discussions. An anonymous survey will be disseminated to all attendees to gauge what they have learned from the virtual discussion: what was helpful/what wasn't and what would they like to know about? These surveys will gauge how helpful the virtual networking has been and provide a safe space for participants to share how to improve virtual engagements with forum participants. After the ALA Annual reunion, all forum

participants' experiences will also be evaluated through a survey for their culminating experience. The purpose is to track how their participation in the forum has potentially impacted their professional and personal experiences.

Second, the curriculum developed from the forum will be evaluated by forum participants, association and non-association members. After the curriculum outline has been drafted, it will be shared to gather feedback through an anonymous survey to respective listservs. The feedback will shape this leadership curriculum for APIA library workers and will be shared in a white paper. Evaluation is a critical component for this project holistically and for its parts in the Forum, webinars and curriculum outline. This important part helps those wanting to support APIA library workers into leadership positions understand what can be enhanced or expanded when it comes to leadership development and address barriers that they may experience. Evaluation to be shared in the white paper includes the potential steps and recommendations to continue fostering support for APIA library workers interested in leadership opportunities.

Contingency Plan: Due to COVID-19 pandemic, the forum will be hosted remotely over 2-3 days if it is still unsafe to travel and gather together.

C. DIVERSITY PLAN

CALA and APALA strongly advocate for diversity, equity and inclusion in the profession and in the communities that libraries serve. This project advances CALA and APALA's missions, values and strategic plans in supporting the development of APIA library workers and their leadership opportunities. It also supports IMLS's recommendations of 1. going where the diversity is; and 2. rebranding for community-based librarianship.¹⁴ The *Path to Leadership National Forum* will ensure that forum participants of all APIA backgrounds will be considered, particularly underrepresentation of intersectional identities and marginalized groups within APIA communities such as Pacific Islanders, South and Southeast Asian Americans. To strive for inclusion and equity, the Advisory Board composition will also reflect the diversity of the APIA community and libraries and will help steer the programmatic efforts in guiding this project. In addition, speaker portions of the forum will be streamed through YouTube or another platform for open sessions to be shared with non-forum participants. This will expand the opportunities for those to participate and/or identify as APIA.

D. SUSTAINABILITY

Data collected from participants' experiences and the curriculum outline will help design a future leadership program for APIA library workers. The data will be shared in white papers and webinars and the network created by participants will foster sustainable relationships. All of these resources will be shared on the *Path to Leadership National Forum* website. As leadership

¹⁴ Sands, A.E.; Toro, S.; DeVoe, T., Fuller, S., & Wolff-Eisenberg, C. (2018). *Positioning library and information science graduate programs for 21st century practice*. Washington, D.C.: Institute for Museum and Library Services.

development is in both CALA and APALA strategic plans, both CALA and APALA will strive to support it after the grant period by disseminating the findings and encouraging members to adapt the curriculum for a leadership program or discussion - the information from the program will be added in both CALA and APALA webpages. The project will also be preserved in the ALA Institutional Repository (ALAIR), and the CALASYS, CALA Academic Resource and Repository System, both are open access repositories.

E. BROAD IMPACT

By convening to capture the stories, experiences, voices and perspectives of APIA library workers in leadership and management roles, and those striving to be leaders, the *Path to Leadership National Forum* aims to shape the conversation of library leadership by sharing the experiences of APIA library workers and focusing on how to increase APIA presence in library leadership positions. A discussion on the white paper may be shared through webinars with specific library leadership organizations/associations including the National Associations of Librarians of Color (NALCo) and American Library Association (ALA). In addition, leaders from a number of organizations offered endorsement for this project. Their letters of support can be found in the supplemental section of the application. The white paper will serve as a model to other ethnic library associations focused on building leadership development. The project's outputs include a white paper, a curriculum outline, and webinars.

Schedule of Completion

September 2021--December 2022

Planning Phase

Execution Phase

Dissemination Phase

Evaluation Phase

September 2021 - August 2022

	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	July	Aug
Forum Planning	Planning Phase	Planning Phase	Planning Phase	Planning Phase								
Design/Distribute Application	Planning Phase	Planning Phase										
Select Participants			Execution Phase									
Deploy Survey & Gather Preliminary Data			Execution Phase									
Develop Forum Agenda based on results				Execution Phase								
Host Forum					Execution Phase							
Identify topics for monthly discussions and plan						Execution Phase						
Host monthly discussion following up on forum topics							Execution Phase	Execution Phase	Execution Phase			
Create curriculum outline									Execution Phase	Execution Phase		
Participant reunion										Execution Phase		
Draft and distribute white papers and forum reports											Dissemination Phase	Dissemination Phase

September 2022 - December 2022

	Sep	Oct	Nov	Dec
Webinar to showcase the forum				
Submit white paper and results to CALA journal				
Present findings at Joint Conference of Librarians of Color (If accepted)				
Forum impact evaluation				



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?