



JISC Grant Funding 13/08

JISC Content Initiative: JISC/NEH Transatlantic Digitisation Collaboration Grants – Phase 2: Call for Projects

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Of Interest To: **Pro Vice Chancellors for (e)Learning and (e)Research**
Directors of Information Services and Systems
Learning Resource Managers, Librarians and Archivists
Principal Investigators in Research Teams
Learning Technologists
Heads of e-Learning and ILT Managers

Introduction

1. The Joint Information Systems Committee¹ (JISC) and the National Endowment for Humanities² (NEH) invites institutions to submit funding proposals for digitisation projects in the humanities. These grants provide funding for 18 months of development from August 2009. All projects must be completed by the end of March 2011.

Initiative	Theme	Description	Funds
JISC Capital Content Initiative	JISC/NEH Transatlantic Digitisation Collaboration Grants	Digitisation projects in the Humanities that will support international collaboration in any of the following areas: <ul style="list-style-type: none">• New Digitisation Projects;• Addition of important material to existing digitisation projects; or the enhancement of existing material (eg enriching metadata of the user interface);• Development of infrastructure (eg tools, resources discovery services) to support, bring together and enhance digital content funded in the US or England / Wales	£600,000 (approximately \$900,000)

2. The deadline for receipt of proposals in response to this call is 12:00 noon on Thursday 26 March 2009.
3. Funding is available for projects starting from August 2009 for up to 18 months. All projects must be completed by the end of March 2011.

¹ Further information on JISC is available at: <http://www.jisc.ac.uk>

² Further information on NEH is available at <http://www.neh.gov/>

Eligibility

4. Applications must be submitted to **both** NEH and JISC. Applicants sent to only one agency will **not** be considered for review. See the session on 'Submitting a bid' for instructions on how to submit to each granting agency.
5. Ineligible applications will not be reviewed.
6. Proposals must be sponsored by both an eligible US and English/Welsh institution and there must be a project director from each institution.

U.S. Partner Eligibility

7. Any U.S. non-profit organisation is eligible, as are state and local governmental agencies and tribal governments. Grants are not awarded to individuals.
8. NEH generally does not award grants to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorised activities. This does not preclude applicants from, or sites and materials controlled by, other federal entities in their projects.

English and Welsh Partner Eligibility

9. Proposals may be submitted by Higher Education (HE) institutions funded by HEFCE or HEFCW. FE institutions in England that teach HE to more than 400 FTEs are also eligible to bid provided proposals demonstrate work that supports the HE in FE agenda.
10. Other organisations, including FE and HE institutions in Northern Ireland and Scotland, are not eligible to bid. However, they may be involved as partners in proposals led by institutions funded by HEFCE, HEFCW or FE institutions which meet the criteria outlined above, but they cannot receive more than 50% of the JISC grant allocated to the lead institution. Funds can only be allocated through the lead partner.

Background

11. JISC supports higher and further education by providing strategic guidance, advice and opportunities to use Information and Communications Technology (ICT) to support research, teaching, learning and administration. JISC is funded by all the UK post-16 and higher education funding councils.
12. NEH is an independent grant-making agency of the United States government dedicated to supporting research, education, preservation, and public programs in the humanities.
13. Based on the recommendations for international collaboration in Professor Sir Gareth Roberts' [International Partnerships of Research Excellence, U.K.-U.S.A. Academic Collaboration](#) and the report of the American Council for Learned Societies' Commission on [Cyberinfrastructure for the Humanities and Social Sciences](#), the NEH in the United States is joining with the JISC in the United Kingdom to offer support for digitisation projects in the humanities.

14. This call follows on from an earlier circular in 2007, [JISC/NEH transatlantic digitisation collaboration grants](#), which funded five projects which are due to complete in March 2009.
 - a. Concordia
 - b. PhiloGrid
 - c. Shakespeare Quartos Archive
 - d. St Kitts-Nevis Digital Archaeology Initiative
 - e. World Wide Web of Humanities

15. Collaboration between U.S. and English /Welsh institutions is a key requirement for this grant category. Each application must be sponsored by both an eligible U.S. and English/Welsh institution (see eligibility requirements above), and there must be a project director from each institution. The partners will collaborate to write a single application package, which the U.S. partner will submit to the NEH (via Grants.gov) and the English/Welsh partner will submit to JISC (via e-mail). All potential applicants should note that while JISC and NEH each host a version of the guidelines on their respective websites, the requirements for the application package as outlined in the sections on 'Structure of Proposals and Submission' are identical. However, each set of guidelines does contain some variations in grant administration procedures to be followed by successful applicants, reflecting local administrative and organisational requirements of either country.

16. Proposals should explain the need for the U.S.-English/Welsh partnership, and provide workable solutions to some of the issues of managing and developing transatlantic collections. Thus, activities supported may include:
 - proposing methods to rejoin via digitisation "split" humanities collections that currently exist on both sides of the Atlantic;
 - connecting existing split digitised collections, detailing suitable transatlantic standards and communication strategies;
 - creating a virtual archive or resource that would serve as middleware to join complementary materials (analogue or digital) in the United States and England / Wales; and
 - developing infrastructure or computational tools for integrating collections and related reference resources (e.g., encyclopaedias, dictionaries, gazetteers) to provide contextual information to users.

17. Successful applicants will be expected, as one of their work products, to create a white paper. This white paper should document their project, including lessons learned, so that others can benefit from their experience.

18. JISC/NEH Transatlantic Digitisation Collaboration Grants **may not be used for**:
 - the Digitisation of materials that are the responsibility of an agency of the U.S. federal government;
 - the Digitisation of materials that will not be made regularly accessible for research, education, or public programming;
 - the retrospective conversion of a library's general card catalogue or the basic inventory of a museum's collections;
 - the creation of software or the purchase of computer systems for records management;
 - the maintenance or upgrading of computer systems;

- the acquisition of collections; or teaching and learning resources, tools, and reference works designed exclusively for classroom instruction.

Providing Access to Grant Outputs

19. Both NEH (as a tax payer-supported federal agency) and JISC endeavour to make the products of the grants available to the broadest possible audience. Our goal is for scholars, educators, students and the U.S. and UK public have ready and easy access to the wide range of NEH and JISC grant products. For projects that lead to the development of web sites, all other considerations being equal, NEH and JISC give preference to those that make their grant outputs free and openly accessible to the public.

Programme Scope

20. Between August 2009 and March 2011, JISC and NEH are making a total of up to £600,000 (approximately \$900,000) to support digitisation projects in the humanities that will support international collaboration. Awards for each project will range from \$200,000 to \$300,000 (approximately £135,000 to £200,000) for a period of eighteen months to share between the two project partners. A representative institution from each country will receive the appropriate portion of their funding from the appropriate country's funding agency (NEH in the U.S.; JISC in England). Any difference in funding request from the funding agencies should not vary by an amount greater than 20% (see budget, below, for more information). Projects should include a project director and institutional affiliation from each country, so that funds may be distributed according to respective national laws and guidelines.

Evaluation Criteria

21. The proposals will be evaluated according to the following criteria:
 - **Impact:** the project's intellectual significance, including how it will increase the understanding of the humanities and the extent to which the project outcomes will be of overall value to the education and research communities in both the U.S. and the UK (30%).
 - **Quality of proposal and work plan:** the extent to which the proposal addresses the issues and demands outlined in the guidelines, showing innovation as appropriate. The quality of the proposal will be assessed on the basis of the grant products proposed, the evidence provided of how and when they will be delivered, and a full assessment of the risks involved. (10%).
 - **Partnership:** the degree to which the proposal demonstrates the institutions' willingness to work in an international partnership and the potential for extending the partnership beyond the funding period. (15%).
 - **Dissemination:** the project's plan for providing access to grant products. All other considerations being equal, preference will be given to projects that provide free and open online access to digital materials produced with grant funds. (15%).
 - **Project value:** the value of the expected project outcomes vis-à-vis the level of funding requested, taking into account the level of innovation, chance of success, and relevance to the target communities. (15%).

- **Previous experience of the project team:** evidence of the project team's understanding of the technical and management issues involved and of its ability to manage and deliver a successful project, for example, through work done to date in the area or in related fields. (15%).

Structure of Proposals

22. The content of the proposal should reflect the evaluation criteria as set out above. To assist in the assessment of all proposals against a common baseline, proposals should be structured as follows:

- a. **Cover Sheet** – all proposals must include a completed cover sheet (see Appendix D). The completed cover sheet will not count towards the page limit.
- b. **FOI Tick List** – all proposals must include a FOI Withheld Information Form, indicating which sections of the bid you would like to be considered withheld in response to a freedom of information request or if your bid is successful and your project proposal is made available on the JISC/NEH website. This can be found in Appendix A of this document. The FOI form will not count towards the page limit.
- c. **Narrative**
Limit the narrative to 12-15 single-sided and single-spaced pages. All pages should have one-inch (2.54 centimetres) margins and the font size should be no smaller than eleven points. Use appendices to provide supplementary material.

The application should consist of the following sections. The application will be reviewed according to the criteria listed above.

- **Significance**
Justify the importance of the project on the basis of its long-term benefits to research, education, or public programming in the humanities.

For projects involving humanities collections, describe the nature, size, and intellectual content of the collections and discuss their relation to similar resources. Provide information about their current and past use or potential future use, their present level of intellectual description, the physical condition of the materials, and their storage conditions. Explain how your project relates to existing resources, discuss what this project will provide that they cannot, and define the probable audiences.
- **History, scope, and duration**
Provide a concise history of the project, including information about preliminary research or planning, financial support already received, and resources or research facilities available. If a project extends beyond the scope of funding requested, briefly describe the scope and duration of the entire project, but show clearly the specific accomplishments or products intended for the grant period for which funding is requested. Describe plans to sustain the project at the end of the grant period should be described. Explain how the project intends to broaden its base of support to allow updates and maintenance without additional NEH or JISC grants.

If the project has been previously supported by NEH or JISC, compare the accomplishments in the current or past grant period with the intended goals. List any products or publications in print or electronic form. When appropriate, indicate print runs, sales, and royalties relating to publications. In the case of existing online projects, include the URL and provide use statistics and other relevant information.

- **Methodology and standards**

Project activities should conform to appropriate standards and accepted professional practices. If your project's methodology departs from usual standards and procedures, explain why the project's goals require this approach and how the project's output would be compatible with other relevant resources that follow existing standards.

All applications should include sample materials or reports that show the final or anticipated form of the project and illustrate the experience of the project's staff in doing comparable work.

Provide an outline of the risks that could pose a threat to the project's success, including their likelihood and severity, and explain how you would prevent or manage them if they occurred. Discuss any intellectual property or privacy issues that might affect the availability of the materials and whether permissions and informed consents have been obtained.

Describe standards and best practices that will be followed to ensure the longevity of digital products and their interoperability with other resources and related materials. Describe the hardware and software to be employed and provide specific information about the following:

- **Preparation and processing of material**
Describe how the material will be prepared for processing and how it will be processed, e.g., digital capture, keyboarding, optical character recognition, or conversion from another electronic format. Discuss the methods for formatting the material and ensuring quality control. Where appropriate, indicate the levels of resolution, compression, image enhancement, and accuracy of textual conversion or transcription required to achieve the project's goals. For text with mark up, justify the choice of tagging scheme and the level of the mark up.
- **Organisation of and access to material**
Explain the organisation of the digitised material or database, including file structure, system capabilities, user access, and documentation. When appropriate, indicate the metadata scheme(s) that will be used to describe the materials (e.g., MARC, Dublin Core, EAD, METS), and explain the rationale for the choice(s). Provide information about metadata creation and controlled vocabularies (if applicable), and use an appendix to display sample data entry sheets, records, and screen displays. When appropriate, discuss the compatibility of the proposed technical framework with the practices of the user community. Discuss provisions for ensuring that your resource can be discovered by a search engine or become part of an aggregated resource such as a digital library, cooperative portal, or clearinghouse, or become integrated with other related resources.

- o Storage, maintenance, and protection of data
Describe the institution's plans for storing, maintaining, and protecting the data, and, where applicable, for the preservation or other disposition of the original source material. Discuss both the technical and the administrative provisions for ensuring the preservation of long-term access to the information. Explain how the data will be archived (independent of the processing or delivery software and interface) to migrate them to future media and formats. Document the institution's capability and commitment to update and provide long-term access to the materials.

Applicants may find it useful to consult [A Framework of Guidance for Building Good Digital Collections](#), which contains links to other useful resources and is supported by the National Information Standards Organisation, as well as the [JISC Information Environment Standards](#), and the [MINERVA Digitisation Guidelines](#).

- **Work Plan**

Describe the work plan in detail, including the work to be done by each partner in the collaboration. A schedule indicating benchmarks of accomplishment during each stage of the project should be included in the appendices.

- **Nature of Collaboration and Staff**

Describe the nature and strengths of the intended collaboration and the methods planned to ensure coordination of the partnership.

Identify the project's staff, including consultants, and describe their duties and qualifications for the specific responsibilities assigned to them. Indicate the amount of time that the principal members of the project's staff will devote to the project. If the project has an advisory board, explain its function. Provide two-page résumés for major project staff and all consultants in the appendices.

- **Dissemination**

Explain how the results of the project will be disseminated and why these means are appropriate to the subject matter and intended audience.

Guarantees should provide broad access to all grant products through the Internet, on-site use, interlibrary loan, or duplication of materials at costs, insofar as the conditions of the materials and intellectual property rights allow. We strongly encourage projects to offer free and open public access to online resources. All other considerations being equal, preference will be given to projects that provide free, open online access to digital materials produced with grant funds.

d. **History of awards**

If the project has received previous support from any federal or non-federal sources, including NEH or JISC, list on one page the sources, dates, and amounts of funding. If the project has a long history of support, the sources and contributions may be grouped and summarised.

e. **Consultants and advisory board members**

List of consultants to the project, members of the project's advisory board (if there is one) and authors of letters of support (if provided).

f. **Budget**

U.S. partners must prepare a budget detailing costs and the requested amount from NEH, using the [NEH budget form](#) (PDF).

English partners must prepare a budget detailing costs and the requested amount from JISC, including staff costs, outsourcing, travel and subsistence (if applicable), equipment and consumables, dissemination, evaluation, and other itemised costs (A budget template is attached at Appendix C). Please refer to the session on full economic costs below.

The combined total amount requested must fall within the limits stated in the Award Information section above. All proposals should include both the US and English budget.

Budgets for both funding agencies should be included in the submission materials. Applicants should include in an appendix a joint budget narrative in the appendix (of no more than one page), in order to provide specific information about joint project costs and the interoperability of project budgets.

Applicants must ensure that cost requests from the funding agencies differ no more than 20 percent in total request per agency in order to maintain as closely as possible an equitable distribution of funds. Note that budgets often include several elements: direct costs, indirect costs, and cost sharing (also known as "institutional contribution"). The sum total request of direct costs and indirect costs from each institution must not differ more than 20%, regardless of the cost sharing or institutional commitment involved. For example: an English/Welsh institution could request from JISC a total of \$110,000 (approximately £73,000), and the U.S. institution could request from NEH a total of \$100,000. However, a request of \$120,000 and \$75,000 respectively would not be allowed: the application would be reviewed, but the final budget of the project, if funded, would be revised in accordance with the equitable-distribution rule.

g. **Appendices**

Use appendices to provide:

- Work plan
- Sample materials and reports
- Brief resumes (no longer than two pages) for staff with major responsibilities for the project's implementation and for consultants to the project.
- Job descriptions for any additional staff that will be hired specifically to work on the project.
- Letters of commitment from outside participants and cooperating institutions, including details of any existing agreements between the proposed partners (e.g., memoranda of understanding)
- Letters of support from outside participants and co-operating institutions.
- Letters of support (preferably no more than 3) from experts in the project's subject area, the proposed methodology, or the technical plan (authors of letters of support not participate in the review process).

Costing and Pricing a Bid

The following session applies to U.S. Partners only:

23. For any outsourced work, third-party contractor costs should be included in the budget category "Services." Attach a complete itemisation of these costs to the budget form. If there is more than one contractor, each one must be listed on the budget form and the costs itemised separately.
24. To the maximum extent practical, all procurement contracts must be made through an open and free competition. Awards shall be made to the bidder or offeror whose bid or offer is responsive to the solicitation and is most advantageous to the recipient, considering price, quality, and other factors. Applicants must justify procurement contracts in excess of \$100,000 that are not awarded by competitive bids or offers.
25. Permanent equipment may be purchased for a project if an analysis demonstrates that it is the most economical and practical alternative to leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year.
26. Consistent with the Buy American Act (41 U.S.C. 10a-c and Public Law 105-277), grantees and sub-recipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

The following sections applies to the English Partners only

27. JISC development projects are funded in UK higher education institutions on the basis of full economic costs. Bids from these institutions should therefore be constructed on a full economic cost (fEC) basis using the TRAC methodology. An example budget for bidders to use can be found at Appendix C.
28. The bid should indicate the contribution to the project being sought from JISC and the intended contribution from the lead institution and any project partners. The funding levels outlined in this call are the maximum that JISC will provide towards the total cost of a project; institutional contributions are additional.
29. When assessing proposals, JISC will take into consideration the reasonableness of the total cost of the project and the institutional contributions. It is important to us that HE institutions are costing proposals accurately and seeking the appropriate level of support from us, so that they are not over-committed, and hence are ensuring the long-term availability of their activities. However, we also need to ensure consistency of treatment, and that it is using its funding effectively across all proposals.
30. Through the funding provided to projects there will clearly be sector-wide benefits. However, there may also be benefits to the lead institution and project partners (e.g. prestige/kudos, academic synergy, and financial benefits) in delivering the individual projects. Bidders should provide a summary of the qualitative and quantitative benefits the lead institution and project partners as a whole expect to receive from the project. We expect these benefits to be taken into account when considering the funding requested. The nature of institutional contributions should be clearly identified (e.g. whether they are direct or indirect contributions or a mixture of both) by providing a breakdown using the example table provided in Appendix C. We reserve

the right to ask additional questions about the budget prior to agreeing any funding for a project.

31. Further guidance on fEC for JISC-funded research and development projects can be found at
<http://www.jisc.ac.uk/fundingopportunities/bidguide/fulleconomiccosting.aspx>.
For more information about TRAC, see the HEFCE web site at:
<http://www.hefce.ac.uk/finance/costing/>.
32. The consolidated TRAC Guidance can be found at
<http://www.jcpsg.ac.uk/guidance/about.htm>.

Freedom of Information

33. JISC is subject to the Freedom of Information Act 2000 (FOIA). Therefore potential bidders should be aware that information submitted by them to JISC during this tender process, and throughout the life of any project subsequently funded, may be disclosed upon receipt of a valid request.
34. JISC will not disclose any information received during this tender process whilst the evaluation of the bids received is still underway. The evaluation process is still deemed to be active until such time as all grant letters to successful projects have been sent out.
35. It is JISC policy to make the content of any bid funded by JISC through this call publicly available via the JISC web site shortly after funding has been awarded. Unsuccessful bids will be destroyed one month after the lead institution has been notified that their bid was not successful. However, it should be noted that the contents of unsuccessful bids *may be* disclosed should JISC receive a relevant FOI request prior to destruction taking place.

Terms and Conditions of Grant

36. JISC will oversee and monitor the progress of projects within England. English projects will be expected to follow JISC's Terms and Conditions of Grant. A copy of this is attached at Appendix B to this document. It is the bidders' responsibility to read this. English partners will be managed following JISC project management guidelines which can be found at
http://www.jisc.ac.uk/media/documents/funding/project_management/projectmanagementguidelines0407.pdf.

Intellectual Property Rights

37. As a general rule, JISC does not seek to retain IPR in the project deliverables created as part of its programmes. However, funding is always made available on the condition that project outputs are made available, free at the point of use, to the UK HE and FE community in perpetuity, and that these may be disseminated widely in partnership with JISC. Where JISC is funding the creation of a national service for the community, there may be a need for HEFCE, on behalf of JISC's funding partners, to retain ownership of certain rights in order to maintain flexibility of future provision and availability of the service.
38. For outputs such as reports or model strategies, a non-exclusive licence allowing JISC or its representatives to utilise, archive and disseminate the work will be required.

Open Access

39. JISC supports unrestricted access to the published output of publicly-funded research and wishes to encourage open access to research outputs to ensure that the fruits of UK research are made more widely available. JISC firmly believes in the value of repositories as a means of improving access to the results of publicly-funded research and is investing significantly in this area. In future, JISC expects that the full text of all published research papers and conference proceedings arising from JISC-funded work should be deposited in an open access institutional repository, or if that isn't available, a subject repository. Deposit should include biographical metadata relating to such articles, and should be completed within six months of the publication date of the paper. Further details are provided in JISC's Terms of Conditions of Grant (see Appendix B).

Submitting a Bid

40. The deadline for receipt of submissions is **12:00 noon on Thursday 26 March 2007**. Late proposals will **NOT** be accepted. It is the responsibility of the bidder to ensure that the proposal has arrived by the deadline stated. **There will be no appeals process for late bids**. In light of this, it is recommended that bidders plan to submit proposals several days before the deadline in case of any technical difficulties or other extenuating circumstances.
41. Proposals **MUST**:
- Include a completed cover Sheet (see Appendix D);
 - Include a completed FOI Withheld Information Form (see Appendix A);
 - Be accompanied by a letter(s) of support from an authorised senior manager at the lead institution and from partner institutions.
42. **An electronic copy of the proposal should be sent in PDF format by this deadline to JISC-NEH-BIDS@JISC.AC.UK**. This is an electronic-only submission process; therefore all documentation (including letters of support) must be submitted in PDF format, as a single file and in a zipped folder if the size of the file exceeds 10Mb (note: any files exceeding 10Mb are likely to be returned by the mail server. The subject of the email should contain the name of the lead partner only (eg institution name). Bidders will receive an automatic confirmation of receipt of proposals sent to the above email address. This email address should not be used for general enquiries.
43. The US partners should also submit the proposal. The process for this is outlined in the NEH documentation.
44. If no automatic confirmation is received, it is the responsibility of the bidder to contact the JISC within one day of submitting the bid to confirm whether the proposal has been received. If you do not receive an automatic confirmation, please contact Avalon McAllister on 0117 9317124. In case of any dispute about the submission of proposals, it is the responsibility of the bidder to provide evidence that the proposal was emailed to the above address prior to the deadline.
45. Bidders must ensure their proposals have paragraph and section numbers in case of any queries or FOI requests. No additional security settings should be activated for PDFs to allow JISC to redact information if necessary prior to any release under FOI.

46. All proposals must complete the *FOI Withheld Information Form* (see Appendix A) indicating those sections or paragraphs of your proposal which you believe should be exempt from disclosure under the Freedom of Information Act. It should be noted that whilst JISC will actively consider withholding any of the information indicated within this appendix, it is ultimately JISC's decision (as the holder of the information) and JISC may not be able to uphold such decisions in all cases. JISC will consult with the lead institution prior to the release of any information listed in the *FOI Withheld Information Form*.
47. The types of information which *may* be considered exempt from disclosure include (but may not necessarily be limited to):
 - Information, which if disclosed, would materially damage the commercial interests of the institution or its partners;
 - Information, which if disclosed, would break the principles of the Data Protection Act 1998.
48. Bidders are encouraged to consult with their institutional FOI officer for further information if required. Failure to fill in or submit this information will be construed as consent for disclosure and/or publication on JISC's website should your bid be successful.

Evaluation Process

49. For this special collaboration, applicants will submit a duplicate proposal to both NEH and JISC. A panel of peer reviewers will be selected jointly by NEH and JISC. Reviewers will read each application and advise NEH and JISC about the proposal's merits. NEH and JISC staff comment on matters of fact or on significant issues that otherwise would be missing from these reviews.
50. JISC and NEH will collaborate on a set of recommended projects to be jointly funded, according to the mutual decision of the NEH Chairman, who by law makes all NEH funding decisions, and the JISC Content Services committee.
51. The JISC Executive and NEH will endeavour to notify successful bidders by early August 2009. Projects can commence from August 2009.
52. Notwithstanding the weightings of the evaluation criteria, proposals that fail badly on any one criterion may be rejected, and proposals showing exceptional strength in one or more areas with serious weaknesses in others may be funded.
53. JISC and NEH reserves the right not to commission the full amount of funding outlined in this call, and to issue a subsequent call to address any remaining work.

Further Information

54. If you have any questions about this call, please contact:

NEH Contact for U.S. Partners

JISC/NEH Transatlantic Digitisation Collaboration Grants
Division of Preservation and Access
Room 411
National Endowment for the Humanities
1100 Pennsylvania Avenue, NW
Washington, DC 20506
202-606-8570

If you need help using Grants.gov, contact:
Grants.gov: <http://www.grants.gov>
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
http://www.grants.gov/applicants/applicant_help.jsp
Grant.gov support line: 1-800-518-GRANTS (4726)

JISC Contact for English Partners

Enquiries relating to content of bids should be directed to:
Alastair Dunning
a.dunning@jisc.ac.uk
020 3006 6065

General enquiries about the bid submission process should be directed to:
Avalon McAllister
a.mcallister@jisc.ac.uk
0117 931 7124

Appendices

- Appendix A: FOI Withheld Information Form (attached)**
- Appendix B: JISC's Generic Terms and Conditions of Grant (attached)**
- Appendix C: Example Budget (attached)**
- Appendix D: Cover Sheet**

NB: All appendices should be read in conjunction with the main body of JISC Grant Funding 13/08.

All appendices and the main body of JISC Grant Funding 13/08 can be found at:
<http://www.jisc.ac.uk/fundingopportunities.aspx>.

Appendix A

FOI Withheld Information Form

We would like JISC to consider withholding the following sections or paragraphs from disclosure, should the contents of this proposal be requested under the Freedom of Information Act, or if we are successful in our bid for funding and our project proposal is made available on JISC's website.

We acknowledge that the FOI Withheld Information Form is of indicative value only and that JISC may nevertheless be obliged to disclose this information in accordance with the requirements of the Act. We acknowledge that the final decision on disclosure rests with JISC.

Section / Paragraph No.	Relevant exemption from disclosure under FOI	Justification

Please see <http://www.ico.gov.uk> for further information on the Freedom of Information Act and the exemptions to disclosure it contains.

Example:

Section / Paragraph No.	Relevant exemption from disclosure under FOI	Justification
2.4	s.43 Commercial Interests	Contains detailed description of our proposed system design which would damage our commercial interests if disclosed, by making this information available to competitors.

Appendix B

Annex to JISC Grant and Contract Letters for Projects Generic Terms and Conditions of Funding

Preamble

1. JISC funds a wide variety of projects on behalf of its funding bodies. These projects include consultancies and supporting studies where the main deliverable is a report, and projects where the deliverables include products or services as well as reports. These generic terms and conditions apply to all projects and define the responsibilities of the lead institution and its project partners.

Adherence to Project Management Guidelines

2. The institution and its partners must adhere to the Project Management Guidelines available electronically at http://www.jisc.ac.uk/fundingopportunities/proj_manguide.aspx. The Guidelines provide initial advice on project planning, project management, the relationships between JISC programmes and projects, evaluation, and dissemination. The Guidelines will be updated from time to time, and the lead institution will be notified of any major changes. It is the responsibility of the lead institution to inform its project partners accordingly.

Submission of Agreed Deliverables

3. The institution and its partners must supply all deliverables specified in the agreed project proposal. The schedule for submitting deliverables must be included in the Project Plan and agreed with the JISC Executive. Any changes to this schedule must be agreed in writing with the JISC Executive.

4. Project deliverables are subject to approval by the JISC Executive, and the framework for approval is outlined in the Project Management Guidelines.

5. Project deliverables will be deposited in the appropriate JISC data centre or managed repository, where appropriate.

Core Project Document Set

6. The lead institution must also supply a core set of documents to indicate how the project work will be planned and implemented, to report on progress, and to inform future auditing and evaluation. It is the responsibility of the lead institution to agree these documents with its project partners prior to submission.

7. The core project documents are listed below and further information about each document is provided in the Project Management Guidelines.

8. Core project documents are subject to approval by the JISC Executive, and the framework for approval is outlined in the Project Management Guidelines.

9. Core project documents will be deposited in the JISC records management system and/or project information management system so they are accessible to the JISC Executive.

Core Project Document	Timing
Project Plan (including an Evaluation Plan, QA Plan, Dissemination Plan, and Exit/Sustainability Plan)	Within 1 month of start date
Project Web Page on JISC Web Site (including copy of accepted Project Plan)	Within 1 month of start date

Project Web Site at Lead Institution	Within 3 months of start date
Consortium Agreement (for projects involving more than one institution)	Within 3 months of start date
Progress Reports (including financial statement)	Default 2 per year; schedule to be agreed with Programme Manager for projects of less than 12 months
Technical and Supporting Documentation (for projects creating technical deliverables)	Timing to be agreed with Programme Manager
Final Report	Draft version 1 month before project end date; final version at project end date
Completion Report (including financial statement)	Project end date

Intellectual Property Rights

10. The ownership of intellectual property rights made, discovered, or created during the period of project funding will be indicated in the funding call/ITT and in the letter of grant.

11. The institution and its partners must ensure that deliverables do not in any way infringe copyright or other intellectual property rights of any third party. For content creation projects, copyright and other intellectual property rights should be cleared before digitisation begins or cleared in stages as a managed part of the creation process. Rights need to be cleared for networked delivery of these resources in learning, teaching and research. It is a matter for the institution and its partners to ensure that their rights are adequately protected.

Jorum Deposit for Learning Resources

12. Jorum [<http://www.jisc.ac.uk/whatwedo/services/jorum.aspx>] is a free national repository that provides a long-term solution for hosting learning and teaching materials. From summer 2009, JorumOpen will be available for staff in UK FE/HE to deposit learning and teaching materials released under Creative Commons or similar licences. JorumOpen will be free to use and open to the world. JISC mandates Jorum deposit for projects creating and releasing learning materials, and strongly encourages its use by all JISC-funded projects.

Charging

13. Funding is made available on the condition that the institution and its partners shall make available deliverables developed by the project free of charge to the teaching, learning, and research communities during the period of funding, except for a handling and/or usage charge which must be agreed in writing with the JISC Executive.

Programme Meetings and Events

14. Programme meetings and other events are organised by JISC to brief project staff and share knowledge. Two major programme meetings are held per year, and attendance at programme meetings is mandatory. Projects should allocate staff time to participate in programme activities, and the Project Management Guidelines provide guidance on days per year to allow. The project will be provided with a schedule of meeting dates.

15. Projects should also allocate time to liaise with the Programme Manager on a regular basis, and institutions should provide access to the Programme Manager at any reasonable time.

Dissemination

16. The institution and its partners must commit to disseminating and sharing learning from the project throughout the community. The institution and its partners must develop a Dissemination Plan as part of the overall Project Plan and report on dissemination activities in Progress Reports and the Completion Report. Further information about dissemination is available in the Project Management Guidelines.

Project Web Site

17. The institution and its partners must create a web page and web site to explain the project aims and objectives and to disseminate information about project activities and results. The Project Management Guidelines give guidance on the scope, content, and design of web sites.

18. Where appropriate, project deliverables and core project documents may be posted on the project web site. As the project web site is primarily a dissemination vehicle, deliverables and documents posted are considered to be copies, and the masters will be deposited in the appropriate JISC repository.

19. The lead institution or one of its partners must agree to host the web site on their server for a minimum of 3 years after the end of the project and to assist JISC in archiving it subsequently.

Publicity

20. In any publicity material or public presentation about the project it is essential to include an indication that the project was made possible by funding from JISC. Projects and services must adhere to JISC PR Guidelines and to any additional advice established by the JISC Communications and Marketing team in due course. The current JISC Communication and Marketing Toolkit can be found at http://www.jisc.ac.uk/aboutus/marketing_toolkit.aspx.

Open Access

21. JISC supports unrestricted access to the published output of publicly-funded research and wishes to encourage open access to research outputs to ensure that the fruits of UK research are made more widely available.

22. JISC firmly believes in the value of repositories as a means of improving access to the results of publicly-funded research and is investing significantly in this area. A national support project is available to help institutions develop repositories and share practice (http://www.jisc.ac.uk/whatwedo/programmes/programme_rep_pres/reps_support.aspx).

23. JISC expects that the full text of all published research papers and conference proceedings arising from JISC-funded work should be deposited in an open access institutional repository, or if that is not available, a subject repository. Deposit should include bibliographical metadata relating to such articles, and should be completed within six months of the publication date of the paper.

24. Which version of the article should be deposited depends upon publishers' agreements with their authors but JISC mandates that articles should be made available through publishers that adopt the RoMEO "green" approach as a minimum (for further information see <http://www.sherpa.ac.uk/romeoinfo.html#colours>). Authors should go to another journal if the journal chosen does not adopt the RoMEO "green" conditions.

25. JISC mandates the deposit of the native version (Word, PPT, etc.), with PDF as well if wanted, but certainly with a format from which usable xml can in principle be derived (not PDF).

Evaluation

26. JISC undertakes evaluation of its development projects and programmes to ensure that knowledge and results are shared with the wider community and to improve the development programme itself. Projects are required to participate in programme evaluation activities organised by JISC.

27. The institution and its partners are also required to undertake evaluation of their work. The institution and its partners must develop an Evaluation Plan as part of the overall Project Plan and report on evaluation results in Progress Reports and the Final Report. Further information about evaluation is available in the Project Management Guidelines.

Exit/Sustainability Plan

28. Funding is for a limited term as set out in the letter of grant. The institution and its partners must develop an Exit/Sustainability Plan as part of the overall Project Plan to document the planning needed to get the best value from the work that has been funded. This will include an assessment of what should happen to deliverables and options for sustainability after funding ceases. Where the institution and its partners wish to exploit deliverables on a commercial basis after funding ceases, they should submit a business plan with economic models that demonstrate how the product or service will be self-sustaining. Further information about exit/sustainability is available in the Project Management Guidelines.

Adherence to Standards

29. The institution and its partners must use the technical standards stipulated by JISC and where unstipulated open standards wherever possible. Any deviation should be justified in the proposal and any alternative be designed with re-use by others in mind. Ease of interoperability between systems is key to the provision of next generation technologies for education and research, and projects are expected to work with JISC to address this issue. It is the responsibility of the lead institution to inform its project partners accordingly. Relevant standards can be found in the JISC Standards Catalogue <http://standards.jisc.ac.uk/>.

Quality Assurance

30. The institution and its partners must put in place appropriate formal quality assurance procedures to ensure that deliverables are fit for purpose and comply with specifications, JISC guidelines on standards and best practice, and accessibility legislation. Projects must develop a QA Plan as part of the overall Project Plan describing the QA procedures they will put in place and supply evidence of compliance when deliverables are submitted. Further information about QA is available in the Project Management Guidelines.

Payment Schedule

31. The schedule of payments will be indicated in the letter of grant. If more than one institution is involved in a project or service, payments will be made to the lead institution. It is the responsibility of the lead institution to disburse the funds to its project partners.

32. Payment is conditional upon satisfactory progress with milestones and deliverables. The institution and its partners must supply deliverables and core project documents on schedule or subsequent payments may be withheld.

33. At the end of the project, any unspent funds should be returned to JISC unless a formal agreement is reached with the JISC Executive about how these funds may be spent to further support the work of the project.

34. For financial audit, the procedures of the lead or fund-holding institution will apply. In general, JISC does not intend to send financial auditors to projects. However, there remains the possibility that JISC's auditors may wish to audit projects. Project fund holders are required to make themselves available for a visit by members of the JISC Executive or nominees on reasonable notice.

Staff Development

35. Funding is for a limited term as set out in the letter of grant. Near the end of the project funding, institutions should inform project staff about career development opportunities. These might include information about job vacancies within the institution or opportunities for training and career guidance.

Compliance with UK and EU Legislation

36. The institution and its partners must comply with any UK or EU legislation or any international Treaty obligations currently in force or introduced during the timescale of the project that has implications for the conduct of projects or the deliverables/documents they supply. JISC will endeavour to inform the lead institution of relevant legislation and supply guidance for compliance. It is the responsibility of the lead institution to inform its project partners accordingly. Further advice and guidance is available from the JISC Legal Information Service (<http://www.jisclegal.ac.uk/>), email: info@jisclegal.ac.uk, tel: 0141 548 4939.

Accessibility

37. In line with Government legislation and social inclusion initiatives, JISC is committed to providing resources that are accessible to a diverse range of users. In order to achieve this, JISC advise that all resources including the project web site meet good practice standards and guidelines pertaining to the media in which they are produced, for example HTML resources should be produced to W3C html 4.01 strict (<http://www.w3.org/TR/1999/REC-html401-19991224/>) and use W3C WAI guidelines to double A conformance (<http://www.w3.org/WAI/WCAG1AA-Conformance>). Further advice and guidance is available from the JISC TechDis Service (<http://www.techdis.ac.uk>), e-mail: helpdesk@techdis.ac.uk, Tel: 01904 754 530.

Data Protection

38. The institution and its partners must accept responsibility as the data controller or Joint Data Controllers as defined by the Data Protection Act 1998 ('the Act') for the personal data collected and processed as a result of this project. Neither HEFCE nor the funding bodies accept responsibility for any breaches of the Act which occur due to the actions of project staff or agents directed by them.

39. HEFCE is the recognised data controller for JISC. In line with the requirements of the Data Protection Act 1998, the institution and its partners hereby grant HEFCE permission to hold the names, job titles, and work contact details of project staff to enable administration of the programme that the project is part of and to keep project staff up to date with information pertinent to it.

40. The institution and its partners also grant HEFCE permission to hold these contact details as part of the main JISC Contacts Database and Project Information Management System. They will be used to contact staff or send them information from other JISC sources relating to forthcoming events or initiatives which may be of interest.

41. This information is made available to the JISC Executive, staff within the Regional Support Centres and staff within other JISC-funded services and initiatives only for the purposes described above. Contact details held within the Project Information Management System are also published on the project pages on the JISC web site (<http://www.jisc.ac.uk/projects>). This data will be held until such time as the institution instructs HEFCE otherwise or for the lifetime of HEFCE.

42. Any institution which prefers that project details were not held as part of the JISC Project Information Management System or Contacts Database, or would like any further information about how this data will be processed, should contact the JISC Executive.

Freedom of Information

43. The institution and its partners should be aware that educational institutions are listed as public authorities under Schedule 1 of the Freedom of Information Act 2000 ('the Act'). The information created by project staff during the course of the project and as described in their original bid is therefore covered by the provisions of the Act.

44. Neither HEFCE nor the funding bodies accept any responsibility for the project's compliance with the Act for information held by the project staff. This is deemed to be the responsibility of their host institution(s).

45. HEFCE will comply with the terms of the Act for information relating to the project or programme of which it is part that is held by the JISC Executive. Project staff should therefore be aware that any contracts, information or communications in written form (including email) which are sent to the JISC Executive (including the Programme Manager) may be made available to the public on receipt of a valid request and unless covered by one of the classes of exempt information listed in Part 2 of the Act.

**JISC Executive
December 2008**

Appendix C
Example Budget³

Directly Incurred Staff	August 09–March 10	April 10–March 11	TOTAL £
Post, Grade, No. Hours & % FTE	£	£	£
Etc.	£	£	£
Etc.	£	£	£
Total Directly Incurred Staff (A)	£	£	£
Non-Staff			
Non-Staff	August 09–March 10	April 10–March 11	TOTAL £
Travel and expenses	£	£	£
Hardware/software	£	£	£
Dissemination	£	£	£
Evaluation	£	£	£
Other	£	£	£
Total Directly Incurred Non-Staff (B)	£	£	£
Directly Incurred Total (A+B=C) (C)	£	£	£
Directly Allocated			
Directly Allocated	August 09–March 10	April 10–March 11	TOTAL £
Staff	£	£	£
Estates	£	£	£
Other	£	£	£
Directly Allocated Total (D)	£	£	£
Indirect Costs (E)	£	£	£
Total Project Cost (C+D+E)	£	£	£
Amount Requested from JISC	£	£	£
Institutional Contributions	£	£	£
Percentage Contributions over the life of the project	JISC X %	Partners X %	Total 100%

³ See overleaf for an explanation of the terms directly incurred, directly allocated and indirect costs.

Explanation of Terms

All applications from UK HE institutions for development funding from JISC should be costed on the basis of full economic costs (fEC). fEC is the total cost of a project. All applications should be costed on financial year April – March and NOT August – July.

Projects should be costed using the TRAC Research indirect and estates charge-out rates, and TRAC fEC methods for Research. If a project is not classified as Research under annual TRAC the Research charge-out rates should still be used. However, there is no need to amend the denominator or the numerator of the charge-out rate calculations to try to incorporate these projects.

Further guidance on fEC for JISC-funded research and development projects can be found at <http://www.jisc.ac.uk/fundingopportunities/bidguide/fulleconomiccosting.aspx>.

Cost Headings

Directly Incurred

These are costs that are explicitly identifiable as part of the project, are charged at cash value actually spent and can be supported by an audit record. They include:

Staff – payroll costs requested for staff, full- or part-time, who will work on the project and whose time can be supported by a full audit trail during the life of the project. Academic-related staff that leads or work directly on a project should be classified as ‘researchers’ when costing the project and should be allocated indirect/estates costs. They should be included in the annual TRAC time allocation collection exercises when those are carried out, and their time on projects should be included in the denominator of the indirect and estates charge-out rate calculations when they are next calculated.

Unless a member of staff will be spending 100% of their time on a project, all estimates of time on a project should be made in numbers of hours or days, for each year of the project. This should then be converted to a FTE for use in calculating the indirect and estate costs charges.

Travel and Expenses – funds for travel and subsistence for use by staff who work on the project where these are required by the nature of the work. This should include attendance at programme meetings (two per year) and other relevant meetings dependent upon the project/programme.

Equipment – the cost of individual items of hardware or software dedicated to the project, including VAT, e.g. a computer for a newly recruited member of staff for the project.

Dissemination – the cost of any dissemination activities proposed for the project.

Evaluation – the cost of any formative or summative evaluation activities proposed for the project.

Other Costs – costs of other items dedicated to the project, including consumables, recruitment and advertising costs for staff directly employed on the project.

Directly Allocated

These are the costs of resources used by a project, which are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis. They include:

Staff – proposals will need to show the costs of any principal investigators/project directors and any co-investigators/co-directors if their time charged to the project is based on estimates rather than actual costs. This may also include the costs of technical and clerical staff, and if a project is buying a small amount of one or more of a person's time.

Estates – these costs may include building and premises costs, basic services and utilities, and any equipment maintenance or operational costs not already included under other cost headings.

Other Directly Allocated – these costs may include, for example, access to institutional research facilities such as equipment and IT systems.

Indirect Costs

These include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of administration, such as personnel, finance, library and some departmental services.

NB: Budgets should clarify the FTEs used to calculate the indirect and estates charges, and indicate which staff have been included.

Indexation

Costings for subsequent years should factor in inflationary increases for salaries and other costs. All costings should be inclusive of any VAT applicable.

Project Partners

Funding for project partners, e.g. staff time, should be clearly identified in the proposal under the relevant heading. Resources to be provided by project partners, whether cash or in-kind contributions, should also be clearly identified in the proposal.


Justification of Costs

All costs associated with the project must be fully justified.

Virement

Directly Incurred Costs can be vired within the overall Directly Incurred budget heading, however, Directly Allocated and Indirect Costs cannot (they do not vary from the estimates made on project application).

Appendix D

Cover Sheet for Proposals <i>(All sections must be completed)</i>			
Name of Capital Initiative: JISC/NEH Transatlantic Digitisation Collaboration Grants – Phase 2			
Name of Lead Institution:			
Name of Proposed Project:			
Name(s) of Project Partner(s):			
Full Contact Details for Primary Contact: Name: Position: Email: Address: Tel: Fax:			
Length of Project:			
Project Start Date:		Project End Date:	
Total Funding Requested from JISC from August 09-March 10: April 10-March 11:			
Total Institutional Contributions:			
Outline Project Description			
I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box)	YES	NO	
I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box)	YES	NO	