

JOINT INFORMATION SYSTEMS COMMITTEE (JISC)

JISC Circular 7/05: Full Text

UK LOCKSS Pilot Programme – Call for Participation

November 2005

Sent To: Heads of Higher Education Institutions funded by the English, Scottish and Welsh Further and Higher Education Funding Councils and by DEL, Northern Ireland

**Of Interest To: Directors of Library and Information Services
Computer Centre Directors
HE Research Resource Owners**

Summary

1. This call invites libraries of UK Higher Education Institutions that subscribe to JISC negotiated NESLi2¹ agreements to participate in a UK LOCKSS Pilot Programme for e-journal archiving and preservation. The objectives of the Pilot Programme are to work with the library community to raise awareness of LOCKSS and to build up a self-sustaining base of LOCKSS users who will collectively preserve a major proportion of the e-journals in common use in the JISC community. The Pilot Programme will commence in February 2006 for a period of two years.
2. All participating libraries will be offered a PC with suitable configuration for a LOCKSS node (cache). This will be installed at the library premises by the LOCKSS Technical Support Officer (LTSO) of the LOCKSS Technical Support Service (LTSS) which is also being funded as a part of the Pilot. Other components of the Pilot include publisher negotiation, legal appraisal of the archiving clauses of the JISC Model Licence, and a collective UK membership of the LOCKSS Alliance. The Pilot Programme has been scoped in consultation with the Consortium of Research Libraries (CURL) and will benefit from CURL partnership as it moves forward. CURL has jointly funded the LOCKSS Alliance Membership with JISC.
3. A town meeting will be held on Friday 2nd December at the Institute of Physics, 76 Portland Place, London W1B 1NT, to provide more information to the community relating to this call and about the LOCKSS Pilot Programme in general. Those interested in taking part in the Pilot and attending the town meeting should register their interest at http://www.jisc.ac.uk/index.cfm?name=lockss_townmeeting. The registration for the town meeting will close on Monday 21st November 2005. The deadline for Institutions to apply to participate in the Pilot is **Monday 19th December 2005**.

Background and Context

4. JISC is a committee of the UK further (FE) and higher education (HE) funding bodies that aims to help and facilitate institutions in their use of the Internet and other Information and Communications Technology (ICT) applications. JISC's mission is to help further and higher education institutions and the research community realise their ambitions in exploiting the opportunities of information and communications technology by exercising vision and leadership, encouraging collaboration and co-operation and by funding and managing national development programmes and services of the highest quality.²

¹ NESLi2 is the UK's national initiative for the licensing of electronic journals on behalf of the higher and further education and research communities, 2003-2006. NESLi2 is a product of the JISC and underwritten by the Higher Education Funding Council for England on behalf of the Funding Bodies

² "JISC Strategy 2004-06", http://www.jisc.ac.uk/index.cfm?name=strategy_jisc_04_06

5. Long-term preservation of and access to scholarly and education materials that are central to the HE/FE community is an important strategic aim of the JISC. The JISC has been working to help tackle the complex issues and challenges of digital preservation which are exceptionally difficult for institutions to address individually. Guided by a Continuing Access and Digital Preservation Strategy³, much has been achieved by the JISC through a digital preservation and records management programme⁴, which consists of a series of studies and community calls as well as national initiatives such as the Digital Curation Centre.⁵
6. CURL is a consortium of research libraries in the British Isles. CURL's mission is to increase the ability of research libraries to share resources for the benefit of the local, national and international research community.⁶ Preservation and long-term access to digital information are among CURL's main strategic aims. CURL intends to achieve this through strategic alliances and collaborative partnerships, as well as by facilitating digital preservation work at institutional level within a coherent and coordinated national framework.⁷ These common concerns have been the impetus for partnership between the JISC and CURL in this UK LOCKSS Pilot.
7. The move in recent years towards provision of scholarly journals in electronic form has greatly enhanced the access and availability of scholarly publications but has also put a dilemma before the publishers and subscribers of e-journals (particularly academic libraries): given the technical, legal and organisational challenges involved, how can ongoing access to licensed content be assured, even following termination of a licence or withdrawal of the site providing it, and who should be responsible?
8. LOCKSS stands for LOTS OF COPIES KEEP STUFF SAFE.⁸ The LOCKSS initiative is an alliance of publishers and libraries working together to provide low-cost and persistent "caches" of content licensed to libraries from publishers, both commercial and open-access, so that the libraries "own" the content they have paid for or otherwise have access to, in much the same way as in the printed environment.⁹ Without undermining the publishers' access control systems, the LOCKSS software enables institutions to collect, store, preserve, and archive authorised content locally. Over 80 libraries and 60 publishers world-wide are currently participating in the LOCKSS programme.¹⁰
9. JISC co-ordinates and undertakes journal negotiations on behalf of the UK educational community. The Model License developed by JISC and publishers for e-journal subscription agreements under the NESLi2 Programme¹¹ includes archiving clauses to provide the libraries with some reassurance of continued access to the content they have paid for. Implementations of the archiving clauses, which will involve a collaborative agreement between the libraries and publishers, are however not yet in place. The LOCKSS system is a step towards fulfilling these clauses and helps to ensure that content once purchased remains accessible.
10. Among the key approaches towards e-journal archiving worldwide, JISC has been keeping a watching brief on the LOCKSS initiative. A UK LOCKSS Workshop was organised by JISC in November 2003 to explore the technical development of LOCKSS and discuss its potential for preserving content collected in the UK. A technical appraisal exercise was then undertaken¹² and the consensus was that LOCKSS is fully functional for e-journal archiving and that the acceptance of many prominent academic publishers on the licensing and intellectual property front is a key advantage of the system.

³ "A Continuing Access and Digital Preservation Strategy for the Joint Information Systems Committee (JISC) 2002-2005", http://www.jisc.ac.uk/index.cfm?name=pres_continuing

⁴ JISC Digital Preservation & Asset Management Programme http://www.jisc.ac.uk/index.cfm?name=programme_preservation

⁵ Digital Curation Centre <http://www.dcc.ac.uk>

⁶ CURL <http://www.curl.ac.uk/about/mission.htm>

⁷ CURL Strategic Plan 2003-2006 <http://www.curl.ac.uk/about/strategic03-06.htm>

⁸ LOCKSS <http://lockss.stanford.edu/>

⁹ LOCKSS Alliance <http://lockss.stanford.edu/alliance/alliance.htm>

¹⁰ LOCKSS participants <http://lockss.stanford.edu/about/users.htm>

¹¹ NESLi2 <http://www.nesli2.ac.uk/model.htm>

¹² The LOCKSS technical appraisal was recommended by the e-journal archiving feasibility study, which was commissioned by the JISC in 2003 to scope and support the implementation of the relevant approaches towards e-journal archiving. The final report of the study is available at http://www.jisc.ac.uk/index.cfm?name=project_epub_archiving.

Scope of the Pilot Programme

11. This Pilot is for 24 months commencing February 2006. The objectives of the programme are to work with the library community to raise awareness of LOCKSS and to build up a self-sustaining base of LOCKSS users who will collectively preserve a major proportion of the e-journals in common use in the JISC community. LOCKSS requires very little on-going resource to run but help and support may be required during the initial set-up and familiarisation process. This programme aims to provide the participating libraries with practical help to get started and to develop the skills needed to run their LOCKSS nodes beyond the Pilot. The components of the programme are outlined below and they will focus on satisfying the conditions that must be met for LOCKSS-based archiving of a particular e-journal title:

- the publisher has granted permission.
- the publishing platform for that particular title is supported by a LOCKSS *plug-in*.
- there is a critical mass of libraries (at least six) that agree to collect and preserve the title.

LOCKSS Technical Support Service

12. A central UK support service is a crucial enabling factor to encourage the take-up of LOCKSS and reduce the learning curve of the participating libraries. The LOCKSS Technical Support Service (LTSS), which includes a LOCKSS Technical Support Officer (LTSO), will be based at the Digital Curation Centre (DCC) to provide both technical and non technical support to the LOCKSS community in the UK. The remit of the LTSS includes first line support, development of publisher specific *plug-ins*¹³, as well as training and awareness raising events.

13. Hardware with suitable configuration for LOCKSS nodes will be purchased collectively by the LTSO, who will set them up at the libraries' premises and liaise with local library and technical support staff to ensure that they work within the libraries' institutional network.

14. The LTSS will also assist the participating libraries in collection development by liaising with relevant bodies and coordinating survey(s) to identify non-NESLi content of common interest.

Publisher Negotiation

15. In order to preserve a title via the LOCKSS system, two kinds of permissions are required from the publisher:

- online permission for the LOCKSS system to crawl the content via a LOCKSS *publisher manifest* (a web page on the publisher's website that contains a specific permission statement).
- legal permission to the librarians via language in licenses or terms and condition.

16. Content Complete Ltd, JISC's negotiation Agent for NESLi2, will be funded to carry out the negotiation with publishers to obtain the required permissions. Publishers will typically grant a blanket license allowing any authorised library to use the LOCKSS system to collect and preserve a copy. The negotiation will in the first instance concentrate on NESLi 2005 and 2006 publishers who have not yet agreed to make content available for collection and preservation by LOCKSS¹⁴. Negotiation with non-NESLi publishers will take place later in 2006 after they have been identified by the participating libraries.

17. A legal appraisal of the archiving clauses in the JISC Model licence will also take place to ensure that these allow for LOCKSS-based archiving. This work will be undertaken by the JISC Services Group.

¹³ The plug-ins are software modules that use journal specific information to make more sufficient the searches for new content and for damage to preserved content. Each on-line publishing platform will require a separate plug-in module.

¹⁴ Some NESLi publishers are already participating in the LOCKSS initiative as a result of negotiations that took place in the US and elsewhere.

LOCKSS Alliance Membership

18. The LOCKSS Alliance is the membership organisation for libraries interested in LOCKSS as part of their strategy for building and preserving digital collections of e-journals and other web-based content. It is governed by a Board of Directors, and staffed by the LOCKSS project team members. Main benefits to the members include members-only premium content, *plug-in* applications for different publishing platforms and various training and documentation. Members also set directions and priorities in terms of technical development. The LOCKSS Alliance provides a coordinated infrastructure for software development and collection management. It is necessary for the continued existence of LOCKSS that libraries around the world support it.
19. A collective membership of the LOCKSS Alliance for the participating UK libraries during the Pilot will be jointly funded by JISC and CURL to ensure that UK priorities are factored into the US-led work and its future development. This will also allow access to the expertise of the LOCKSS team and transfer the knowledge and skills to the UK, helping to form a self-sustaining UK LOCKSS community and a centre of expertise outside the US. The UK HE will be represented at the Alliance via the LTSS.

Collection Development – Responsibilities of Participating Libraries

20. LOCKSS is based on the principle of critical mass and works as a network of LOCKSS nodes (PC's running the LOCKSS software) with each node crawling publishers' web sites to collect content incensed by its library and also taking part in a peer-to-peer process of mutual audit and repair with other LOCKSS nodes that have collected the same content. This Pilot Programme aims to recruit the critical mass of libraries to build a community in the UK that will provide the natural safe havens for jointly purchased titles and titles of common interest.¹⁵ The above funded components of the Pilot are designed to free the libraries from all other tasks so that they can concentrate on the ones they are best placed to carry out – building and managing local e-journal library collections. This means using the web-based administration tools¹⁶ to configure the institutional LOCKSS node and to collect licensed and freely available content that fits the institution's collection development policy and guidelines. LOCKSS requires very little system administration effort to run and typically a librarian is expected to spend at most 3-5 days a year to add content to the local collection and to upgrade the LOCKSS node.
21. The priority of the programme is to ensure all NESLi2 content is available via LOCKSS. However, the programme will also seek to include non-NESLi content important to the UK HE research community. The most effective way of doing this is to involve the libraries to identify collection development priorities. Participating libraries are required to participate in the surveys which will be carried out to identify and agree titles/publishers of common interest, particularly those of interest to the UK that are at risk. Groups such as the joint CURL/SCONUL Task Force on Scholarly Information, the JISC Journals Working Group and the JISC Scholarly Communications Group will also be consulted. Negotiations with the publishers of selected content will be carried out by Content Complete Ltd. *Plug-ins* needed for these publishers will subsequently be developed by the LOCKSS Technical Support Service.
22. The participating libraries are required to report to the JISC using the required templates and to attend events/meetings organised by the JISC (in partnership with CURL) as appropriate. The libraries are also expected to work with the LTSSO and provide feedback to the LTSSO to ensure UK interest and requirements are reflected at the LOCKSS Alliance.
23. Since the objective of the Pilot is to seed a viable UK LOCKSS community for the future, an important part of libraries' submissions under this call is a demonstration of commitment to collection development and maintenance of their LOCKSS nodes beyond the Pilot. The participating libraries are therefore required to develop the necessary skills locally so that they can continue to run their

¹⁵ Tentative data suggest that each title should have at least six redundant copies on the LOCKSS system.

¹⁶ A demo of the LOCKSS administration tool is available at <http://www.lockss.org/uidemo/>

LOCKSS node beyond the Pilot. Libraries are also encouraged to develop an e-journal collection strategy, using LOCKSS (and/or appropriate alternatives) as enabling technologies.

Benefits for the Participating Libraries

24. The LOCKSS Pilot Programme provides a unique opportunity for libraries to take part in a community programme that will ensure that the journals they have subscribed to in digital form can continue to be accessed even if the publisher ceases to exist, the subscription ends, or the acquired content is damaged. By undertaking publisher negotiation and providing comprehensive support covering the technical, training and advocacy aspects, the Pilot will ensure that the participating libraries will have a much less steep learning curve and can concentrate on local e-journal collection development.
25. The LOCKSS Pilot Programme provides the participating libraries with opportunities to be supported in acquiring valuable skills in e-journal collection management.
26. All participating libraries will be offered a PC with suitable configuration for a LOCKSS node. This will be installed at the library premises by the LOCKSS Technical Support Officer. Title to the installed equipment will pass to the participating institutions which can demonstrate commitment to maintenance of their LOCKSS nodes and e-journal collection development beyond the Pilot.
27. It is hoped that the benefits of LOCKSS will become evident to the participating libraries and they will continue to maintain their LOCKSS nodes as a self-sustaining community using the skills gained through the Pilot. LOCKSS requires very little on-going resources to run and the legal appraisal of the archiving clauses in the Model Licence to allow LOCKSS-based archiving would reduce the need for publisher negotiations in the future. It is envisaged that the experience within the Pilot will enable a completely self-sustaining LOCKSS community. However, subject to evaluation and assessment of the Pilot, the funders will consider necessary future support required by the community.
28. The outcome of the Pilot would be a functioning UK LOCKSS network and community which collectively preserves a major proportion of the e-journals in common use by the UK researchers. The experience with LOCKSS will also allow JISC and the community to make an informed assessment of the desirability of future use of LOCKSS versus alternatives that are emerging and becoming more mature.

Eligibility

29. This call invites libraries of UK Higher Education Institutions to participate in a UK LOCKSS Pilot Programme for e-journal archiving and preservation. Eligibility criteria include:
 - subscription to JISC-negotiated NESLi2 agreements;
 - a significant range of e-journal content;
 - willingness to cooperate in the installation of a LOCKSS node and in associated training of appropriate staff, including covering travel and subsistence costs for attendance at such events;
 - willingness to regularly configure the LOCKSS node to include new titles;
 - willingness to install new LOCKSS system updates if required (between this and the previous bullet, effort should not exceed 5 person days per year);
 - willingness to participate in a collection development exercise with other participating libraries to identify priorities for non-NESLi titles to be included in the UK LOCKSS Pilot;
 - acceptance of the reporting and coordination requirements indicated above;
 - agreement in principle to continue to operate the LOCKSS system for a further two years beyond the Pilot¹⁷.
30. UK Higher Education Libraries that already have LOCKSS nodes are eligible to take part in this Pilot.

¹⁷ Subject to assessment of the desirability of future use of LOCKSS towards the end of the Pilot undertaken by JISC.

31. Owing to the nature of the call, only responses from single institutions will be accepted.

Timescales and Funding

32. This Call for Participation is not inviting Institutions to bid for funding, but rather to receive hardware and support as a participant in the UK LOCKSS Pilot Programme. The JISC will cover travel and subsistence costs incurred through attending main programme meetings during the course of the Pilot Programme (1-2 in total). Participating institutions will however be expected to cover travel and subsistence costs incurred during such activities as attendance at training events during the Pilot, which will be held close to participating institutions where possible.

33. Institutions have a period of seven weeks to respond to this call. The deadline for responses to participate in the Pilot Programme is 1300 hrs on **Monday 19th December 2005**. See paragraphs 36-42 below for further details of the bidding process.

Evaluation Criteria

34. Responses to participate in the Pilot Programme will be evaluated using the following criteria (in no particular order):

- The extent to which the institutions meet the eligibility criteria as highlighted in paragraphs 29-31;
- Quality and completeness of the response – the extent to which the response covers the required components in paragraph 35;
- The institution's commitment to developing local skills and continued involvement beyond the Pilot;
- Experience and skills of the key personnel;
- Support of the library/institutional management.

Format of Formal Response

35. A formal response is required from institutions wishing to participate in the Pilot and should be structured to include the following components:

- A detailed statement about which of the eligibility criteria outlined above are met by the institution;
- A brief introduction to the institution and the motivation to participate in the Pilot, indicating in general terms the types of e-journal content of interest (NESLi, other STM, specialist, open access etc);
- Confirmation that the institution will participate in the Pilot and fulfil the responsibilities as outlined above;
- A demonstration of the institution's commitment to developing local skills and continued involvement beyond the Pilot;
- Key personnel - names, contact details, job titles and responsibilities of staff expected to contribute to the Pilot;
- The name and contact details of a primary contact in the Institution for the Pilot;
- A letter of support for participation in the Pilot Programme from a senior representative of the institution.

Bidding Process

36. A town meeting will be held on **Friday 2nd December 2005** from 10.30am – 1.30pm at the Institute of Physics, 76 Portland Place, London W1B 1NT, to provide more information to the community relating to this call and about the LOCKSS Pilot Programme in general. Attendance is free and on a first come, first served basis. Those interested in taking part in the Pilot and attending the town meeting should use the registration form on the JISC website at

http://www.jisc.ac.uk/index.cfm?name=lockss_townmeeting by **Monday 21st November 2005** to book a place at this event.

37. Responses of no more than five single-sided A4 sheets, typeset in Arial or a similar font at no less than 10 point size, should be submitted both as a single, unbound hard copy. An electronic copy, in Word or Rich Text Format, should also be submitted via email as one file or a zipped folder. **The deadline for submissions is 1300 hrs on Monday 19th December 2005.** CVs may be attached as appendices to the 5 page proposal and should be no longer than 2 sides of A4 each
38. Both hard and electronic copies **MUST** arrive by the deadline which will be strictly adhered to. Faxed or late responses in either format will **NOT** be accepted. Bidders are strongly advised **not to rely on first class post** for on-time delivery of the hard copy.
39. If the response exceeds the page limit guidance, evaluators will be advised to disregard information provided beyond the indicated page limit.
40. The hard copy and electronic copy of the response including appendices and letters of support **must** be received by the deadline stated. All responses should be sent to:

Thea O'Connor, JISC Executive, Northavon House, Coldharbour Lane,
Bristol, BS16 1QD, tel: 0117 931 7072; email: t.oconnor@jisc.ac.uk.
41. An expert evaluation panel will review the responses received and make final decisions on participation in the UK LOCKSS Pilot Programme. JISC will endeavour to notify bidders of the outcome of the evaluation process in the week commencing 16th January 2006.
42. The JISC reserves the right not to accept any response received.

Further Information

43. General enquiries regarding the content of this call should be directed to Helen Hockx-Yu, JISC Programme Manager (tel: 020 7848 1803; email h.hockx-yu@jisc.ac.uk).
44. Enquiries regarding the tendering process should be directed to Thea O'Connor in the first instance (tel: 0117 931 7072; email: t.oconnor@jisc.ac.uk) or Nike Holmes (tel: 0117 931 7427; email: n.holmes@jisc.ac.uk).

**JISC Executive
November 2005**