



JISC Grant Funding 13/11

Digital Infrastructure: Information and Library Infrastructure – Resource Discovery Programme: Call for Projects

JULY 2011

Of Interest To: Pro Vice Chancellors for (e)Learning and (e)Research
Directors of Information Services and Systems
Learning Resource Managers, Librarians, Museum Managers and Archivists
Repository Managers
Learning Technologists

Introduction

1. The Joint Information Systems Committee¹ (JISC) invites institutions to submit funding proposals for projects to develop services that can contribute to the national infrastructure that supports discovery and reuse of resources in collections held by libraries, museums and archives.

Programme/ Initiative	Theme / Context	Description	Funds
Resource Discovery		Projects to develop services that aim to make content from museums, libraries and archives more visible and to develop innovative ways to reuse those resources. Projects should align with the Resource Discovery Taskforce vision. Bidders should note that a broad definition of content resources will be used for this call. This scope is defined in more detail below.	£900,000 £75,000 - £200,000 per project 5-12 projects Nov 2011-Jul 2012

2. The deadline for receipt of proposals in response to this call is 12:00 noon UK time on Monday 12th September 2011.
3. Funding is available for projects starting from November 2011 for 9 months. .
4. On 11th and 18th August 2011, the relevant members of the JISC Executive will be available for 30 minute sessions (via telephone and/or Skype) for prospective bidders to ask questions and seek clarification. Those wishing to avail themselves of this opportunity should email as below to request a timed session. These sessions are optional for bidders. Furthermore, members of the JISC Executive may be available at other times and will endeavour to respond in a timely fashion to *ad hoc* queries. Any general clarifications offered to prospective bidders will be shared publicly via an FAQ post on the "Information Environment" Blog at <http://infteam.jiscinvolve.org/>.

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

Prospective bidders are advised to check this before contacting the JISC Executive. The relevant members of the JISC Executive are Andy McGregor a.mcgregor@jisc.ac.uk, and Rachel Bruce r.bruce@jisc.ac.uk.

Eligibility

5. Proposals may be submitted by Higher Education (HE) Institutions funded by HEFCE. 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. HE and FE institutions in Northern Ireland, Scotland and Wales are not eligible to bid but may be involved as partners in proposals led by HE institutions funded by HEFCE or FE institutions in England which meet the criteria outlined above.
6. Proposals may be from single institutions or consortia. Partnership arrangements may be developed outside the sector (for example with research council sites, publishers, commercial suppliers), but the lead partner must meet the criteria outlined above. Funds can only be allocated through the lead partner.
7. The JISC Data centres, Mimas and Edina, host many relevant services and existing metadata aggregations and have expertise that could be relevant to projects funded by this call. Mimas and Edina are supported by JISC to participate in the Discovery programme and therefore will be able to work with successful projects. Proposals that require their participation should ensure they define their role in proposed projects and have a clear agreement from them to partner. Mimas and Edina have been funded separately so should not be included as funded partners for this call.

Background

8. JISC supports higher and further education by providing strategic guidance, advice, services 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.
9. The JISC's vision is one of easy and widespread access to information and resources, anytime, anywhere: a vision with technology and information management at the heart of research and education. As part of this the JISC supports the development and delivery of "Digital Infrastructure" for education and research. Digital infrastructure includes technical services, technical standards, software tools, supporting policies, practice and regulatory frameworks; and both innovation and service activities contribute to the provision of the infrastructure. It allows for the appropriate creation, management and exploitation of information, resources and services to enable effective and high quality research and education. Part of this infrastructure includes support of digital content, its creation, discovery and use.
10. The infrastructure needs to enable researchers, teachers, learners, managers and support staff to accomplish a wide variety of things if it is to fulfil its purpose, and different approaches are required across this variety. For example, the ubiquitous access to content and resources enabling far-reaching re-use is best served by exploiting the Web, machine interfaces and open data using a resource orientated approach, whereas in some cases infrastructure needs to support the use of restricted datasets and collaborations with appropriate access management controls. Finally, institutions may find service-orientated approaches to interoperability are effective in managing information between their systems for internal administrative purposes. These are not incompatible approaches, but reflect the broad scope of the infrastructure. They share concerns with the persistence of information, the extent to

which it can be understood, trusted and reused, and hence with the semantics, provenance and rights associated with the information, and the policies, skills, organisational arrangements and cultures of the people using it.

11. The activities in this call are targeted at addressing particular aspects of the infrastructure but they all contribute to the rich vision of infrastructure for education and research. They contribute to the delivery of JISC's strategic objectives with particular emphasis on the following objectives as set out in the JISC Strategy:
 - To provide cost-effective and sustainable shared national services and resources
 - To help institutions to improve the quality, impact and productivity of academic research
 - To help institutions to improve the quality of learning and teaching and the student experience
12. The Discovery programme and this call has been designed to support institutions in their goals of enhancing the student and researcher experience by providing services that make it easier and more effective for students, teachers and researchers to discover and use the resources they require for their work. The outcomes of the call will help institutions to reduce duplication of effort and help them be more effective in their support of the student and researcher experience.
13. This call is designed to address issues and opportunities associated with the infrastructure required to discover the valuable resources that are held by university and college libraries, museums and archives throughout the UK. For the purposes of this call, this includes core library museum and archive content as well as resources held in digital repositories such as multimedia, research outputs, maps and special collections. Research data is not considered to be in scope for this call as there is significant investment occurring in that area in other JISC programmes.
14. Libraries museums and archives across the UK hold valuable and unique resources that are essential for research and education. Discovering what resources exist and where they are is a fragmented experience. Most researchers, teachers and students will find it straightforward to discover resources held at their institution but will have a more difficult time discovering relevant content held by other institutions. JISC and other bodies provide some services that support searching across the UK but these services do not cover all resources nor do they address all the potential ways which researchers, teachers and students want to use these resources. Librarians, museums and archives have robust processes in place to manage collections of content. Some of these processes represent a significant duplication of effort that could be reduced through sharing of metadata and related services or more efficient flows of data. These processes do not always result in the production of metadata that is easy to reuse and this prevents the exploitation of this valuable metadata to address a range of research and learning needs. This reuse problem also means that some resources are not discoverable via dominant search providers such as Google. JISC seeks to enable the improvement of the resource discovery infrastructure that supports Higher Education to address these issues of fragmentation, duplication and reuse.
15. The issues associated with resource discovery are well understood but challenging. In 2009 JISC and RLUK convened a group of experts into a resource discovery taskforce to take a fresh look at the area². The taskforce met four times over the course of a year and the results of the discussions were used to create a vision for

² Resource discovery taskforce: <http://rdtf.jiscinvolve.org/wp/>

what was required to improve resource discovery for researchers, teachers and students³. This vision was endorsed by the members of the taskforce and acts as a shared commitment to addressing the issues.

16. The vision outlines an approach that focuses on making metadata about resources and collections open and reusable to support the creation of aggregations of metadata and the development of services that address the needs of students, teachers and researchers.
17. This approach is similar to approaches being adopted by others outside of the UK, examples include Europeana⁴, Digital New Zealand⁵ and the efforts of individual institutions as listed in the open bibliographic data guide⁶.
18. JISC is committed to funding a programme of work to implement the vision. This programme of work is called Discovery⁷ and is planned in three phases running up to December 2012.
19. Phase one focused on laying the groundwork for the implementation. This consisted of three activities:
 - Creation of the central project to manage the Discovery programme. The purpose of this project is to work out the technical and social details involved in implementing the vision and to provide guidance and leadership on these issues for higher education institutions.
 - Releasing open metadata from libraries, museums and archives. JISC funded 8 projects to experiment with releasing open metadata and to develop techniques that other institutions could emulate⁸.
 - Enhancing existing services provided by Edina and Mimas to enable them to contribute to realising the resource discovery taskforce vision.
20. Phase two will build on the outcomes of phase one and focus on the building of exemplars and services while still retaining a focus on supporting the creation of open metadata. This call will form a major part of phase two.
21. Discussions during the original taskforce and phase one of the implementation have highlighted a number of challenges and opportunities that need to be addressed in implementing the vision. The purpose of this call is to address those issues by seeking projects to develop services that could help to solve them. The challenges and opportunities identified so far are listed later in this call. Projects that address other relevant issues and help implement the vision are also encouraged; and as referred to above, a broad definition of content is in scope, therefore similar issues with regard to content held within digital repositories can be dealt with under the terms of this grant funding call.
22. There are a number of useful services provided by JISC and other organisations that support resource discovery and related use cases. These include: Archives Hub, Copac, Go Geo, Suncat, AIM25, Culture Grid. These services will be an important

³ Resource discovery taskforce vision: <http://discovery.ac.uk/vision/>

⁴ Europeana: <http://www.europeana.eu/portal/>

⁵ Digital New Zealand: <http://www.digitalnz.org/>

⁶ Examples from the JISC Open Bibliographic Data guide: <http://obd.jisc.ac.uk/examples>

⁷ Discovery website: <http://discovery.ac.uk/>

⁸ Discovery open metadata projects:
<http://www.jisc.ac.uk/whatwedo/programmes/inf11/infrastructureforresourcediscovery.aspx>

part of implementing the resource discovery taskforce vision and JISC will be encouraging enhancement of these services as part of the Discovery programme. Please note the eligibility conditions as these may have implications for partnership arrangements for proposals seeking to work with these sorts of services.

Programme Scope

23. Between November 2011 and July 2012, JISC intends to fund projects and activities that help to develop services that contribute to the implementation of the resource discovery taskforce vision.
24. This call uses the term services throughout. The term is used to mean an application that addresses a use case for teachers, students, researchers, librarians, curators or archivists. For this call, a service can be provided by one organisation as a shared service for other organisations or individuals to visit and use or it can be something that is intended to be installed and managed by each individual or organisation, therefore in the latter case being a 'common' service but not necessarily 'shared'.
25. All projects funded under this call should focus on services that benefit the entire HE sector or a significant domain in the HE sector. Projects that only benefit a single institution will not be considered and projects that benefit a narrow group of stakeholders will not be prioritised.
26. The projects funded under this call would be expected to produce one of the following outputs:
 - Enhancements to existing services that address the problems listed later in the call or that help implement the resource discovery taskforce vision.
 - Prototype services that address the problems listed later in the call or that help implement the resource discovery taskforce vision. JISC will want to work with successful prototypes to ascertain whether there are appropriate models for developing them into robust service offerings.⁹
27. All projects are expected to produce knowledge which would lead to policies and practice to support a sustainable and effective resource discovery infrastructure. This will contribute to JISC and other stakeholders being able to make more informed decisions over provision of infrastructure. This knowledge would also enable the provision of advice and guidance to institutions who manage elements of the infrastructure or to enable them to configure local resources to take advantage of, and contribute to the infrastructure provided by others. JISC has put in place activities to help to develop advice and guidance from across the Discovery activities and the knowledge created from the projects will contribute to this.
28. All proposals will be expected to explain how they align with the resource discovery taskforce vision and how they contribute to its realisation, including the Discovery licensing and technical principles that are referred to below.
29. The resource discovery taskforce vision is focused on resources and collections held by libraries, museums and archives in the higher education sector. Projects funded under this call must focus on that content. As stated in the background section, for

⁹ Bidders should be aware of the paragraphs on IPR below (65-67). Where prototypes are successful and show potential to be developed into robust service offerings, then IPR ownership is likely to feature in discussions between JISC and project teams.

the purposes of this call this core content is defined as any collections of content held and managed by libraries, museums and archives in HE institutions plus content held in digital repositories managed by HE institutions. Projects may use additional content as well as this core content but bidders must demonstrate that the additional content is relevant to the implementation of the vision.

30. The work of the resource discovery taskforce and the Discovery programme has highlighted a number of key areas where there is a need for innovation, problem solving and enhancement to existing services. Alongside this other activities, notably those in the area of digital repository infrastructure have also highlighted similar issues. JISC seeks projects that address these issues. Projects addressing issues not listed here are also welcome, but bidders must ensure they explain how their proposal will contribute to the realisation of the resource discovery taskforce vision.

- Creation of aggregations of metadata to meet a clear use case for a community of users broader than a single institution.
- Enhancements to existing aggregations to enable them to contribute to the implementation of the vision. This can include making open metadata available and addressing the issue of ease of reusability of the metadata.
- New services or enhancements to existing services that make it easier or more efficient for institutions to contribute metadata about their collections to aggregations.
- Services that support the creation of metadata that fits with the Discovery open metadata principles. This can include enhancements to existing systems, services that focus on transforming existing metadata and new approaches such as shared cataloguing services.
- Services that make it easier for institutions to create and publish open metadata about their collections. This can include shared cataloguing services.
- Services to enrich metadata. This could include crowd-sourcing, text-mining, automated metadata enrichment and working with vocabularies or authorities. This could also include services that address issues of data quality.
- Services for students, researchers and teachers that help realise the resource discovery taskforce vision. This can include projects that explore new methods of discovery.
- Services that support the more effective reuse of metadata and how to deal with different resource types in aggregations.
- Services that address metadata pain points in repository infrastructure, for example the creation of quality metadata is challenging and there may be ways to help address this by the creation of open metadata 'tools' and services.

31. There are a strict set of criteria that JISC expect projects funded under this call to meet:

- All projects must adhere to the Discovery open metadata principles¹⁰
- All projects must take account of the draft discovery technical principles and commit to engaging with the final version of the principles¹¹.
- As stated above, projects must focus on services that offer benefits for the higher education sector or a significant subset of the sector. Projects that only benefit the host institution will not be considered.

¹⁰ Discovery open metadata principles: <http://discovery.ac.uk/businesscase/principles/>

¹¹ Early draft of Discovery technical principles: <http://technicalfoundations.ukoln.info/node/17>

- Proposals must demonstrate that there is a demand for the outputs they intend to develop. If a demand cannot be demonstrated then proposals need to make a persuasive case that this is an opportunity that will benefit the sector and help to realise the vision.
 - All proposals must include a clear use case. Providing data to machines is a valid use case.
32. JISC anticipates that all projects will meet these conditions. Bidders are advised to include a section on how the project will contribute to the vision and how it fits with the open metadata principles and the technical principles in their proposals. If there are reasons why the project has to deviate from these principles then these must be explained so that markers can judge whether it is strategically desirable to fund something that deviates from the principles.
33. All projects will be expected to dedicate time to working with the wider Discovery programme. Projects will be expected to take account of relevant developments elsewhere in the programme as well as committing to working with ongoing efforts to synthesise best practice and produce advice for the sector.
34. Working in partnership with other organisations is welcomed. This includes commercial organisations, such as software system vendors and data owners, and organisations from outside the HE sector. However bidders must explain how the proposed partnership benefits HE as a whole not just the bidding organisations. It is anticipated that a significant proportion of JISC project funding will go towards effort and resource within universities and colleges. Bidders should note the conditions under the eligibility section when planning their partnerships.
35. Projects funded under this call are expected to produce prototype services. JISC will then work with the people behind successful prototypes to see if they should be taken further and what is the most appropriate route.
36. Projects that are enhancing existing services must address the issue of how they will support the enhancements beyond the project lifetime.
37. Projects that focus on metadata creation or open metadata publishing for a specific collection are not in scope for this call. There will be a separate call focusing on publishing open metadata about strategically important collections.
38. The aim of this call is the implementation of the resource discovery taskforce vision. JISC will select a portfolio of projects that offer the most compelling ways to implement that vision.

Evaluation Criteria

39. Proposals will be evaluated according to criteria in the table below:

Evaluation Criteria	Questions Evaluators will be Considering
<p><i>Appropriateness and Fit to Programme Objectives and Overall Value to JISC Community</i> – the extent to which the proposal addresses the issues and demands outlined in the call, and shows innovation as appropriate; the extent to which</p>	<p>Is the proposal in scope? If it isn't, you should score the bid poorly under this criterion and NOT recommend the bid for funding.</p> <p>Is the proposal a good idea?</p> <p>Does the bid clearly articulate its intentions?</p> <p>Does the proposal demonstrate that the project outputs meet a need and will result in benefits to the community?</p> <p>If appropriate, is the bid technologically innovative and sound?</p>

<p>the project outcomes will be of overall value to the HE and research communities (25%).</p>	<p>Is there evidence that the proposal has been developed in the context of institutional learning, research and/or information management strategies to ensure that project outputs can be embedded and sustained beyond the JISC funding period? Where appropriate, does the bid propose to take a service-oriented approach and adopt open standards to ensure that developments can be more easily taken up and reused elsewhere? If appropriate, does the bid discuss sustainability beyond project funding?</p>
<p>Evaluation Criteria</p>	<p>Questions Evaluators will be Considering</p>
<p>Quality of Proposal and Robustness of Workplan – the quality of the proposal will be assessed on the basis of the deliverables identified, and the evidence provided of how these will be achieved, including an assessment of the risks (25%).</p>	<p>Are there clear deliverables? Is the IPR position clear and appropriate with regard to project outputs? Is the methodology for meeting the deliverables sound and achievable? Is there active engagement throughout the project to ensure a sustainable and embedded end-product, where applicable? Is the workplan robust in terms of project management arrangements? How will the success of the project be measured? Does the bid include a well-thought-through initial assessment of risks, which considers the project’s failure to deliver, and predictable consequences that are not necessarily positive?</p>
<p>Engagement with the Community – the degree to which the proposal demonstrates an openness and willingness to work with and share findings with the JISC community and to work in partnership with JISC in forward planning, dissemination and evaluation, and to continue to make available the findings beyond the project period (20%).</p>	<p>Does the bid propose engagement with project stakeholders and practitioners (if appropriate) throughout the life of the project? Is a stakeholder mapping and/or user needs analysis provided? Does the bid propose an appropriate dissemination approach? Does it have an appropriate evaluation approach, e.g. talking to stakeholders? Does the bid demonstrate willingness to work in partnership with JISC in the dissemination and evaluation activities and to make available outputs beyond the funding period?</p>
<p>Value for Money – the value of the expected project outcomes, vis-à-vis the level of funding requested, institutional contributions; taking into account the level of innovation, chance of success and relevance to the target communities (15%).</p>	<p>When considering value for money, evaluators will refer to their assessment under the above evaluation criteria and compare this with the cost requested from JISC. Does the bid discuss the quantitative and qualitative benefits to the project partners of undertaking the work? Given the benefits, are institutional contributions appropriate? <i>(Individual calls will clarify the position with regard to the appropriateness of JISC funding for equipment and/or licences.)</i></p>
<p>Previous experience of the project team – evidence of the project team’s understanding of the technical and/or management issues involved, and of its ability to manage and deliver a successful project, for example</p>	<p>Does the bid demonstrate a realistic understanding of the scale of the task, both in terms of technical and management issues? Does the bid demonstrate previous successful delivery and management of projects? Does the bid link the expertise of the team with the roles to be undertaken and the staffing budget?</p>

through work done to date in the area or in related fields (15%). ¹²	If the bid is from a consortium: i) have the partners provided evidence of their commitment in the form of supporting letters? ii) have the partners demonstrated how the work aligns with their objectives and priorities? iii) is it clear what the role of each partner is and how the actual or planned management structure, governance, decision-making and funding arrangements will function?
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Structure of Proposals

40. 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. **Bid Cover Sheet** – all proposals must include a completed bid cover sheet (using the template at Appendix D) which is included in the proposal as part of the overall maximum page limit.
 - b. **Appropriateness and Fit to Programme Objectives and Overall Value to the JISC Community** – this section should demonstrate how the bid addresses the issues and demands outlined in the call, and shows innovation as appropriate; and the extent to which the project outcomes will be of overall value to the JISC community.
 - c. **Quality of Proposal and Robustness of Workplan** – a description of the intended project plan, timetable and deliverables, project management arrangements, risks, IPR position, and sustainability issues. (NB: Any further/specific requirements to a particular programme will be outlined in the call). Recruitment should be properly addressed in the bid. Do not underestimate the amount of time it takes to set up and establish a project and undertake any necessary staff recruitment.
 - d. **Engagement with the Community** – a description of how project stakeholders and practitioners (if appropriate) will be engaged throughout the project and an overview of the dissemination and evaluation mechanisms that are envisaged for the project. Any stakeholder mapping and/or user needs analysis will strengthen this section of the bid. Proposals should also ensure there is scope for working in partnership with JISC in dissemination and evaluation activities, and in making available the outputs of the project beyond the JISC funding period. Further guidance on JISC's expectations with regard to stakeholder engagement, evaluation and dissemination can be found in Section III of JISC's Project Management Guidelines (http://www.jisc.ac.uk/proj_manguide).
 - e. **Budget** – a summary of the proposed budget, which in broad outline identifies how funds will be spent over the life of the project. The budget should be broken down across financial years (April–March) or parts thereof and should include itemised staff costs, any equipment and consumables, travel and subsistence, dissemination, evaluation, and any other direct costs required, e.g. rights clearance if required. All costs must be justified. Transparent Approach to Costing (TRAC) methodology must be used to calculate costs in bids from UK HE institutions. An Example Budget and guidance on the budgetary terms used can

¹² In the case of consortium proposals, the **strength of the consortium** will be considered as part of the project team criteria. This refers to evidence of the commitment shown by the consortium partners to the consortium and the proposed project, and the degree to which the work proposed is aligned with institutional strategies and is shown to be embedded within the mainstream of the consortium and with the collaborative partners' priorities. Bidders may wish to refer to documents that exist such as partnership agreements, strategic plans etc. that the evaluation panel can obtain copies of upon request. Please do NOT include such documents as appendices to a bid.

be found in Appendix C to this document. Bidders should provide a summary of the qualitative, and any quantitative, benefits the lead institution and any project partners as a whole expect to receive from the project in order to inform the funding to be requested from JISC and the costs being borne by the host institution and any project partners. Institutional contributions should be determined by taking into account the benefits to the lead institution and any project partners.

- f. **Previous Experience of the Project Team** – names and brief career details of staff expected to contribute to/be seconded to the project, including qualifications and experience in the area of work proposed, linking the expertise to the roles required within the project, and evidence of any projects of similar nature successfully completed. Clearly indicate when posts will need to be advertised. Do not underestimate the problems in recruiting suitable staff to work on the project. Staff with suitable qualifications in areas where the JISC is interested can be in short supply or expensive. You should provide contingency plans in the event that you experience problems with recruitment.
- g. **FOI Tick List** – all proposals must include a FOI Withheld Information Form, indicating which sections of the bid you would like JISC to consider withholding in response to a freedom of information request or if your bid is successful and your project proposal is made available on JISC's website. This can be found in Appendix A of this document. The FOI form will not count towards the page limit and should be included in a separate PDF file to the main bid sections described in a-f above, alongside the supporting letters.
- h. **Supporting Letter(s)** – a copy of the letter(s) of support from a senior representative of the institution and any project partners. Only one supporting letter per project partner should be submitted. The supporting letter(s) will not count towards the page limit and should be included in a separate PDF file to the main bid sections described in a-f above, alongside the FOI tick list. The address to include on letters should be JISC, Northavon House, Coldharbour Lane, Bristol, BS16 1QD. It is not necessary to address the letter to a particular contact within the JISC Executive.

General Expectations

41. Projects are expected to allocate at least 10 person-days per year and related expenses to engage in programme-level activities. In particular, all projects are expected to attend programme meetings and relevant special interest groups. Any further expectations will be outlined in the relevant call.

JISC Services

42. Bidders should be aware of the range of JISC services that may be relevant to provide advice, guidance or support dependent upon the proposal being submitted. Further information on JISC's advisory services (JISC Advance), including the Regional Support Centres, can be found at:
<http://www.jisc.ac.uk/whatwedo/services/jiscadvance.aspx>

Technological Approaches to be Employed

Open Standards

43. Open standards should be used wherever possible, and any deviation from these should be justified in the proposal and any alternative interface specifications should be designed with re-use by others in mind. The JISC recognises that emergent technologies lack the maturity of standards of some existing technologies. Interoperability and data transfer are key to the provision of next generation

technologies for education and research, and projects are expected to work with JISC to address these issues.

44. Bidders must also ensure that they request adequate funding for any additional costs that may be incurred by adopting a standards-based approach. Projects should demonstrate sound risk management with regard to the adoption of standards for immature emergent technologies and refer to appropriate sources of expertise.
45. Bidders must also ensure that they request adequate funding for any additional costs that may be incurred by adopting a standards-based approach. Projects should demonstrate sound risk management with regard to the adoption of standards for immature emergent technologies and refer to appropriate sources of expertise.
46. Further guidance on standards and their stipulation can be found under “Programme Scope”, above.

Software Outputs

47. It is expected that software outputs will normally be licensed as open-source unless a case is made to the contrary and accepted by the evaluation panel. Applicants should make clear the licence under which software outputs will be released, mechanisms that will be put in place for community contribution (users and developers) throughout the project, and the sustainability plan for the software beyond the period of project funding. Applicants should consult with JISC's open source software advisory service OSS Watch¹³ on matters relating to open source software development. Applicants should also refer to JISC's Policy on Open Source Software for JISC Projects and Services¹⁴.
48. To be able to re-use the software it must be of a certain quality and maturity. For example, it must have supporting information, FAQ, installation guides, test data etc. to help others use it. In addition to the advice from the OSS Watch, elements that contribute to software quality and project maturity are outlined in the Software Quality Assurance (QA) and Open Source Maturity Model (OSMM) Development guidelines.¹⁵ Projects will be expected to follow the recommendations from these sources of guidance. Projects may also find additional guidance and material from the Software Sustainability Institute¹⁶.

Risk Assessment

49. All projects have an element of risk. Even in the best-planned projects there are uncertainties, and unexpected events can occur. A risk can be defined as:

“The threat or possibility that an action or event will adversely or beneficially affect the ability to achieve objectives.”

50. A risk analysis when putting together a bid will help you predict the risks that could prevent a project from delivering on time or even failing. It will also help you to manage the risks should they occur. Consideration should be given not only to threats that could lead to failure to deliver objectives (as has already happened) but also to consider opportunities (constructive events) which if exploited could improve the way of achieving objectives.

¹³ OSS Watch <http://www.oss-watch.ac.uk/resources/bidsupport.xml> and <http://www.oss-watch.ac.uk/resources/adviceforprojectbids.xml>

¹⁴ Open Source Policy <http://www.jisc.ac.uk/fundingopportunities/opensourcepolicy.aspx>

¹⁵ Software Quality Assurance (QA) and Open Source Maturity Model (OSMM) Development guidelines: http://www.jisc.ac.uk/uploaded_documents/SQA_OSMM_09.06.doc

¹⁶ Software Sustainability Institute <http://www.software.ac.uk/>

51. A risk analysis addresses the following questions:
- What could possibly happen?
 - What is the likelihood of it happening?
 - How will it affect the project?
 - What can be done about it?
52. Further guidance on Risk Assessments can be found in Section III, paragraph 7 of the Project Management Guidelines. JISC InfoNet also hosts an InfoKit on Risk Management¹⁷. It explains what risks are, how to do a risk analysis, and how to manage risks during a project.

Costing and Pricing a Bid

53. JISC innovation 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 in Appendix C.
54. Other institutions submitting bids should use their usual costing and pricing practices but all costs should be clear and transparent, clarifying the number of days each individual working on the activity will provide, in order to assist the evaluators in determining the value for money of the proposal.
55. 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. Where a bid involves partners from outside UK HE, such as English FE or a commercial company, the partners should cost their activities using current costing practice in their college or organisation and clearly identify partner contributions.
56. 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 JISC 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, JISC also needs to ensure consistency of treatment, and that it is using its funding effectively across all proposals.
57. Through the funding provided to projects there will clearly be sector-wide benefits. However, there may also be benefits to the lead institution and any 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 any project partners as a whole expect to receive from the project. JISC expects these benefits to be taken into account when considering the funding requested from JISC. JISC reserves the right to ask additional questions about the budget prior to agreeing any funding for a project.
58. Further guidance on fEC for JISC-funded research and development projects can be found at:
<http://www.jisc.ac.uk/fundingopportunities/bidguide/fulleconomiccosting.aspx>

¹⁷ JISC InfoKit on Risk Management <http://www.jiscinfonet.ac.uk/InfoKits/risk-management>

For more information about TRAC, see the HEFCE web site at:
<http://www.hefce.ac.uk/finance/costing/>.
The consolidated TRAC Guidance can be found at
<http://www.jcpsq.ac.uk/guidance/about.htm>.

Freedom of Information

59. 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.
60. JISC will not disclose any information received during this bidding 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.
61. 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

62. JISC will oversee and monitor the progress of projects. All projects will be expected to follow JISC's Generic 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.
63. All projects will be managed following JISC project management guidance, which can be found at http://www.jisc.ac.uk/proj_manguide. These guidelines may also be of use to bidders when putting together a project proposal.
64. It is intended that the deliverables created as part of this programme will, as appropriate, be deployed by JISC as part of a long-term strategy for providing access to community resources, and where this is possible, arrangements for archiving of deliverables will be set in place. However, wherever possible, projects will be encouraged to set in place mechanisms to ensure the continued availability and currency of deliverables after funding has ended. In the majority of cases JISC will not be able to commit to the long-term delivery or maintenance of project outputs after the end of the programme, though guidance will be given about any opportunities for continuation funding and embedding within institutions.

Intellectual Property Rights

65. As a general rule, JISC does not seek to retain IPR in the project and/or service outputs 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 (or 'at cost' where appropriate), to the UK HE, FE and Research community in perpetuity and in accordance with JISC's Open Access and/or JISC's Open Source Software Policy wherever possible, and that these outputs may be disseminated widely in partnership with JISC. Further information is available in Appendix B.

66. JISC, however, reserves the right to acquire all Intellectual Property Rights, including, without limitation, copyright, database right, performers rights, patents and trade marks, whether registered or unregistered, in any works created as a result of the funding either indefinitely or for a certain fixed period of time on behalf of HEFCE. JISC also reserves the right to request that all Moral Rights are waived. This ability to acquire the Intellectual Property Rights will only be used under exceptional circumstances and in any such case where JISC considers this necessary, the JISC will explain in writing to you the reasons for the transfer. This includes the situation where JISC is funding the creation of a national service for the community and 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.
67. For all project and/or service outputs, acceptance of the terms and conditions of the grant will provide JISC or its representatives with an irrevocable, non-exclusive royalty-free licence in perpetuity to exploit the outputs in any way it sees fit, including enabling the JISC to use, archive, preserve and disseminate the outputs.

Open Access

68. 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. 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 bibliographical 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

69. A guide to bidding for JISC projects can be found at: <http://www.jisc.ac.uk/bidguide>
70. The deadline for receipt of submissions is **12:00 noon UK time on Monday 12th September 2011**. Late proposals will **NOT** be accepted. It is the responsibility of the bidder to ensure that the proposal has arrived by the deadline stated. The JISC Executive will strictly adhere to this policy. **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.
71. Proposals should **NOT** exceed twelve single-sides of A4 pages and should be typeset in Arial or a similar font at 11-point size. All key information as outlined in the guidance on structure of proposals **MUST** be included within the twelve-page limit unless otherwise indicated. **Any bids exceeding the twelve-page limit will be rejected by the Executive prior to the evaluation stage.**
72. Proposals **MUST**:
- Include a completed bid cover sheet (the template at Appendix D must be used) **which is included in the page limit for the proposal**;
 - Include a completed FOI Withheld Information Form (see Appendix A) in a separate pdf file which also includes the letters of support;

- Be accompanied by a letter(s) of support from an authorised senior manager at the lead institution and from any partner institutions (only one letter per institution) in a separate pdf file which also includes the completed FOI Withheld Information Form.
73. This is an electronic-only submission process, therefore all documentation must be submitted in PDF format. **Two PDFs are required as part of the submission: one to include the main proposal (including bid cover sheet); and one to include the FOI Withheld Information Form and letter(s) of support.** The size of the overall submission should not exceed 10Mb; a zipped folder should be used if the size of the files exceeds 10Mb (note: any files exceeding 10Mb are likely to be returned by the mail server).
74. 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.
75. 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*.
76. 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.
77. 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 proposal be successful.
78. The bid submission email address is outlined below.

Programme/Initiative	Bid Submission email Address
Resource Discovery Programme	RDPBIDS@JISC.AC.UK

79. All bids should include the name of the lead institution in the subject line of the email. It is the responsibility of the bidder to ensure that the bid is sent to the correct email address. Bidders will receive an automatic confirmation of receipt of any proposal sent to the relevant email address. The email address should not be used for general enquiries. Separate contact details for enquiries are provided below. Bidders submitting more than one bid in response to this call must submit these in separate messages to the relevant email address(es).
80. If no automatic confirmation is received, it is the responsibility of the bidder to contact JISC within one day of submitting the bid to confirm whether the proposal has been received. 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 correct address prior to the deadline.

Evaluation Process

81. A selection panel will be established to review the bids received. A standard marksheet and guidance for markers is prepared for each evaluation process. This is to help to ensure a common approach from evaluators and to clarify the evaluation criteria, and definitions for the different marks it is possible to award. There are a number of sections which the evaluator is required to complete to inform decisions: a score for each evaluation criteria; detailed comments to clarify the mark awarded for each criteria; a section to describe overall impressions of the bid; and a recommendation. Further information about JISC's procedure for evaluating bids can be found at: <http://www.jisc.ac.uk/bideval>.
82. JISC will endeavour to notify successful bidders by 27 September 2011. Projects should commence from 1 November 2011. All projects must be complete by July 2012.
83. JISC will expect to work with the selected projects to agree the workplan and to ensure that the project budget is appropriate and suitably profiled. It may be necessary to negotiate some aspects of the project objectives and content with the project teams in the interest of maximising the expected benefits of the programme as a whole.
84. 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. In making awards under this call, JISC will take into account the need for an appropriate, varied and affordable portfolio of projects and partners. It is not, therefore, necessarily the case that the projects with the highest raw scores will be those funded in all instances.
85. JISC 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.

Checklist for Bid Submission

86. When submitting your bid, we recommend you check the following points:
 - i. Have you completed the bid cover sheet (see relevant appendix for the template which must be used)?
 - ii. Have you followed the bid format outlined?
 - iii. Have you paragraph- and section-numbered your proposal?
 - iv. Have you read JISC's Generic Terms and Conditions of Grant (see relevant appendix)?
 - v. Are you clear about the evaluation criteria on which your bid will be judged?
 - vi. Have you looked at the Example Budget and guidance (see relevant appendix) to help you present your costings?
 - vii. Have you provided a summary of the qualitative and quantitative benefits the lead institution and any project partners as a whole expect to receive from the project and clarified the nature of the institutional contributions?
 - viii. Have you kept within the page limit for the main body of the proposal (do NOT include any appendices to your bid unless specifically requested in the call)? The page limit for this call is 12 pages.
 - ix. Is your bid in a PDF format with no additional security settings switched on?

- x. Have you completed the FOI Withheld Information Form (see relevant appendix) as part of a separate PDF file with the letter(s) of support?
- xi. Have you included a letter(s) of support from the lead site and each project partner and included these in a separate PDF with the FOI Withheld Information Form?
- xii. Is your bid in a zipped folder if the size of the files exceed 10Mb?
- xiii. Are you aware of the email address to which you need to submit your bid and the need to include the name of the lead institution in the subject line of the email?
- xiv. Are you aware of the deadline for submitting bids? (12:00 noon UK time, day 12th September 2011).

87. To summarise, a bid will be automatically rejected if:

- i. It is received after the stated deadline;
- ii. A bid cover sheet (completed according to the template attached) is not included;
- iii. The bid exceeds the page limit outlined in the call;
- iv. An additional appendix/appendices is/are provided that are not requested in the call (as these will be considered to count towards the page limit outlined in the call).

Further Information

88. Contact details for enquiries about a specific strand within this call are outlined below.

Programme / Initiative	Call	Enquiries About The Call	Enquires About Submission Process
Resource Discovery		Andy McGregor, a.mcgregor@jisc.ac.uk or Rachel Bruce, r.bruce@jisc.ac.uk	Joseph Hutcheon, j.hutcheon@jisc.ac.uk

89. General enquiries about the bid submission process should be sent to: Joseph Hutcheon (j.hutcheon@jisc.ac.uk)

Appendices

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

NB: All appendices should be read in conjunction with the main body of JISC Grant Funding 13/11.

All appendices and the main body of JISC Grant Funding 13/11 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 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. However, the institution and its partners should refer to the designated JISC programme manager for details of how these guidelines are to be interpreted. 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 and by reference to the designated JISC programme manager.

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	Within 1 month of start date

Plan)	
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. As a general rule, JISC does not seek to acquire or retain IPR in any outputs created as part of the project and/or service. IPR ownership shall therefore vest with you [and your partners, as laid out in your Consortium Agreement]. However, if this is not the case for the particular piece of work you are undertaking, the correct IPR position will be documented in the grant/contract letter.

11. The funding is made available on condition that outputs from the project are made available, free at the point of use (or 'at cost' where appropriate) and under Open Access or Open Source principles where possible, to the UK HE, FE and Research communities in perpetuity in accordance with JISC's Open Access Policy and/or JISC's Open Source Software Policy wherever possible.

12. A condition of funding is that you grant JISC, on behalf of HEFCE, an irrevocable, non-exclusive royalty-free licence in perpetuity to exploit the outputs in any way it sees fit, including enabling the JISC to use, archive, preserve and disseminate the outputs. This may include, where appropriate, the delivery of project outputs to the community under a suitable open access and/or Open Source licence. In all cases, JISC will also retain the right to modify or adapt the project outputs. The purpose of this is to give JISC the ability to ensure outputs are available to the UK education and research community for non-commercial use should you fail to fulfil this condition of funding. You further agree to ensure that any licence you enter into in order to acquire third party materials for the purposes of this project may legally be transferred to a third party, nominated by HEFCE, to enable such continued availability of outputs to the UK education and research community.

13. JISC may terminate this Agreement immediately without further obligation in the event of:

- (i) any breach of this Agreement which cannot be remedied or is not remedied within thirty (30) calendar days of you being requested to do so; or
- (ii) any resolution being passed or petition being presented to wind up your business (otherwise than for reconstruction or amalgamation) or a receiver being appointed of the whole or part of your assets; or a failure to complete a satisfactory Consortium Agreement, where required, in the time required by your JISC project manager; or where, in the reasonable opinion of the JISC, any of the terms or conditions of funding have not been fulfilled.

If termination occurs under any of these circumstances, all rights in any works created by you as a result of the funding shall revert to the JISC on behalf of HEFCE.

14. You [and your partners] must ensure that outputs do not infringe the copyright or any other Intellectual Property Right existing at the time the project is completed (including, but not limited to, database rights, moral rights, performers rights, unregistered or registered trade marks, patents, or registered designs) of any third party. Where necessary, copyright and other Intellectual Property Rights should be cleared before digitisation or incorporation into outputs begins. You must obtain written permission for any third party rights that you incorporate, using a standard clearance letter whose wording has been agreed with your JISC Programme Manager. You must also document all attempts to identify the owner of works where the rightsholders cannot be located (so-called "orphan works".) It is a condition of funding that you must discuss any orphan works you encounter with your JISC Programme Manager and must follow your programme manager's advice regarding how to deal with such orphan works.

15. It is a further condition of grant that you respect the Moral Rights of those individuals who contribute to the project outputs and in particular requires that you (1) acknowledge them by listing the names of those individuals who made a significant contribution to the project outputs in such project outputs, (2) that the text or content of any outputs should be checked by those individuals before release.

16. JISC, however, reserves the right to acquire all Intellectual Property Rights, including, without limitation, copyright, database right, performers rights, patents and trade marks, whether registered or unregistered, in any works created by you as a result of the funding, as appropriate, either indefinitely or for a certain fixed period of time on behalf of HEFCE. JISC also reserves the right to request that all Moral Rights are waived. This ability to acquire the Intellectual Property Rights will only be used under exceptional circumstances and in any such case, the JISC will explain in writing to you the reasons for the transfer.

Open Access

17. 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. 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).

18. JISC requires that all project or service outputs and the full text of all published research papers and conference proceedings arising from the funded work to be deposited into an institutional or subject open access repository. Deposit should include appropriate bibliographical metadata relating to said articles, and the deposit should be completed within six months of the first publication date of the paper. 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).

19. 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.

20. Jorum (<http://www.jisc.ac.uk/whatwedo/services/jorum.aspx>) is a free national repository that provides a long-term solution for hosting and registering the availability of learning and teaching materials. It contains two collections each supporting a different type of licence for use. JorumOpen provides access to resources licensed under Creative Commons that are

free to anyone worldwide to use; JorumUK provides access to resources from those who prefer to share their work only within UK Further and Higher Education institutions. Deposit into both collections is, initially, by staff only in UK Further and Higher Education. Information about each collection and how to deposit can be found on the Jorum website. It is mandatory that all learning and teaching materials produced by JISC projects and services should be represented (deposited or linked to) in JorumOpen together with the appropriate metadata. JISC strongly encourages use of Jorum by all JISC-funded projects.

Open Source

21. It is highly desirable that any software components of the outputs are released under appropriate open source licences to ensure that they can also be freely shared with organisations and communities with which the JISC has close working arrangements, see JISC's Open Source Software Policy

(<http://www.jisc.ac.uk/fundingopportunities/opensourcepolicy.aspx>)

and advice from JISC's Open Source Software (OSS) Watch
(<http://www.oss-watch.ac.uk/resources/adviceforprojectbids.xml>)

Adherence to Standards

22. 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/>.

Charging

23. 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

24. 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.

25. 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

26. 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

27. 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.

28. 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 repository (see paragraph 18 above).

29. 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

30. 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.

Evaluation

31. 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.

32. 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

33. 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.

Quality Assurance

34. 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

35. 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.

36. 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.

37. 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.

38. 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

39. 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

40. 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

41. 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/WCAG20/quickref/>). 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

42. 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.

43. 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.

44. 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.

45. 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.

46. 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

47. 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.

48. 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).

49. 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
September 2010**

Appendix C: Template Budget¹⁸

Directly Incurred Staff	April 11– March 12	April 12–March 13	TOTAL £
Post, Grade, No. Hours & % FTE	£	£	£
Etc.	£	£	£
Etc.	£	£	£
Total Directly Incurred Staff (A)	£	£	£
Non-Staff			
	April 11– March 12	April 12–March 13	TOTAL £
Travel and expenses	£	£	£
Hardware/software	£	£	£
Dissemination	£	£	£
Evaluation	£	£	£
Other	£	£	£
Total Directly Incurred Non-Staff (B)	£	£	£
Directly Incurred Total (C) (A+B=C)			
	£	£	£
Directly Allocated			
	April 11–March 12	April 12–March 13	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%
No. FTEs used to calculate indirect and estates charges, and staff included			
	No FTEs	Which Staff	

¹⁸ See overleaf for further guidance and 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.

Projects should be costed using the TRAC Research indirect and estates charge-out rates, and TRAC fEC methods for Research. However, this does not affect their classification as Research or Other/Other Services Tendered for reporting in annual TRAC, HESA, the financial statements or with regard to Customs and Excise (VAT) treatment.

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.

Academic-related staff who lead 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.

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. Directly incurred staff should be completing timesheets if they are not 100% chargeable to the project.

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.

Where a post graduate research (PGR) student is carrying out some of the work on a project, the fEC associated with that student should be included on the project application.

This will include:

- Stipends/maintenance costs
- The principal investigator's (PI) supervision/training time
- Indirect and estates costs on the PI time
- Indirect and estates cost on the PGR FTE (weighted by 0.2 for indirect costs, and 0.5 or 0.8 for estates).

Tuitions fees should not be included in the fEC.

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. Institutions should use the non-laboratory estates rate if desk-based work (not requiring specialist computing facilities) is done by staff in laboratory departments. Work carried out by academic-related staff such as librarians or IT managers would normally be categorised as non-laboratory but this would depend on the type of project.

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: The budget section of the proposal 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 - Bid Cover Sheet

JISC Grant Funding 13/11

Cover Sheet for Bids <i>(All sections must be completed)</i>			
Name of JISC Initiative:		Resource Discovery Programme	
Name of Lead Institution:			
Name of Proposed Project:			
Name(s) of Project Partners(s) <small>(except commercial sector – see below)</small>			
This project involves one or more commercial sector partners YES / NO <small>(delete as appropriate)</small>		Name(s) of any commercial partner company (ies)	
Full Contact Details for Primary Contact: Name: Position: Email: Tel: Address:			
Length of Project:			
Project Start Date:		Project End Date:	
Total Funding Requested from JISC:			
Total Institutional Contributions:			
Outline Project Description			
I have looked at the example FOI form at Appendix A and included an FOI form in this bid		YES / NO <small>(delete as appropriate)</small>	
I have read the Funding Call and associated Terms and Conditions of Grant at Appendix B		YES / NO <small>(delete as appropriate)</small>	
For FE institutions only: Please tick this box if you are an FE institution in England, please tick this box to confirm that you meet the eligibility requirement of teaching HE to more than 400 FTE		<input type="checkbox"/>	

