

Cover Sheet for Proposals		JISC Capital Programme
Name of Capital Programme: Repositories and Preservation Programme		
Bid for Call Area :		
Tools and Innovation (Strand B)		
	Call Area I – Tools and Innovation Projects	
Discovery to Delivery (Strand C)		
	Call Area II – Discovery to Delivery Projects	<ul style="list-style-type: none"> a) Version identification framework b) Persistent identifier interoperability demonstrator c) Federated access management and repositories d) Semantic interoperability demonstrator
Repository Start-Up and Enhancement (Strand D)		
	Call Area III – Repository Start-Up and Enhancement Projects	<ul style="list-style-type: none"> ✓ a) Repository start-up projects b) Repository enhancement projects
Digital Preservation and Records Management (Strand H)		
	Call Area IV – Digital Preservation and Records Management Projects	<ul style="list-style-type: none"> a) Digital preservation across the lifecycle b) Models and implementation of preservation services c) Preservation tools development
Shared Infrastructure Services (Strand I)		
	Call Area V – Shared Infrastructure Services Projects	<ul style="list-style-type: none"> a) Pilot implementation of licence registry b) Pilot national name and factual authority service c) Scoping an architecture to support digital policy management d) Scoping a terminology registry
Name of Lead Institution:	Information Services, University of Wales Aberystwyth	
Name of Proposed Project:	Welsh Repository Network Start-up project	
Name(s) of Project Partner(s):	<p>University of Wales Aberystwyth, University of Wales Bangor, Cardiff University, University of Wales Institute Cardiff, University of Glamorgan, University of Wales Lampeter, University of Wales Newport, North East Wales Institute of Higher Education, Royal Welsh College of Music and Drama, Swansea University, Swansea Institute of Higher Education, Trinity College Carmarthen</p>	

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.

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
None		

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Welsh Repository Network Start-up Project

1. INTRODUCTION

The aim of this Welsh Repository Network (WRN) Start-Up Project bid, submitted by the University of Wales Aberystwyth (UWA) on behalf of WHELP (Wales Higher Education Libraries Forum¹), is to put in place an essential building block for the development of an integrated network of institutional digital repositories in Wales. Currently, just two of the 12 HEIs in Wales have open access digital repositories (Aberystwyth² and Cardiff³), both of which are pilot rather than production models, lightly populated and resident on shared equipment. A JISC contribution of £58,058 is requested to support a centrally managed hardware procurement programme designed to provide every HEI in Wales with dedicated and configured repository hardware by the end of 2007 as a major step towards realisation of the WRN. In close collaboration with the technical, organisational and operational support specifically provided for Welsh HEIs within the JISC funded Repository Support Project⁴ (RSP), also to be delivered from UWA, this initiative will provide a cost-effective, collaborative and decisive boost to the repository agenda in Wales and help JISC achieve the critical mass of populated repositories and digital content that is a stated objective of the Repositories and Preservation Programme⁵.

2. VISION

The vision that underpins this bid is that by the end of the JISC Capital Programme the basic infrastructure for a comprehensive network of independent but fully interoperable and well populated institutional repositories will be in place in Wales, enabling institutions not only to address Welsh Assembly Government *Reaching Higher*⁶ objectives in respect of improving institutional efficiency, increasing capacity and encouraging collaboration, but also to make a significant contribution to the overall aims and objectives of the JISC Repositories and Preservation Programme. The target is the phased establishment of a Welsh Repository Network which, by the end of March 2009, will be characterised by the following principal components:

- a) An operational open access digital repository in every Welsh HEI, that forms an integral part of the learning, teaching, research and administrative fabric of its host institution
- b) A supporting infrastructure based upon open standards and common implementations compatible with the JISC Information Environment, facilitating interoperability and a coordinated approach to resource discovery, harvesting and curation of intellectual assets in Wales

¹ <http://whelf.ac.uk/>

² CADAIR (<http://cadair.aber.ac.uk/>)

³ Cardiff ePrints (<http://eprints.cf.ac.uk/>)

⁴ <http://www.sherpa.ac.uk/projects/rsp.html>

⁵ http://www.jisc.ac.uk/whatwedo/programmes/programme_rep_pres.aspx

⁶ http://www.learning.wales.gov.uk/scripts/fe/news_details.asp?NewsID=423

- c) A bilingual interface which is fully compliant with the requirements of the Welsh Language Act
- d) Centrally provided technical and organisational support designed to assist institutions first to construct and then to populate and embed institutional repositories into the institutional fabric
- e) A national resource discovery and search service which provides integrated access to aggregated data of Welsh interest and which also makes provision for long-term preservation and archiving

This bid addresses the first of the WRN building blocks outlined above. It seeks to provide each institution with access to the dedicated hardware that is a pre-requisite if it is to create a robust and resilient platform upon which to build its repository services and participate in a collaborative repository network. Provision has already been made for RSP staff based at UWA to address the infrastructural and support issues outlined in b) to d) above. Discussions have already begun within WHELFF, and particularly with the National Library of Wales, on the kind of end-user services referred to in e) that might be relevant to the needs of Wales. Once the basic institutional infrastructure is in place, and taking account of feedback from partner institutions, detailed consideration will be given to the means by which material of special Welsh interest might be aggregated and made most accessible to the HE community.

3. CONTEXT

In order to evaluate the relevance and viability of this consortium Start-Up Project bid it is necessary to understand something of the background from which it emerges.

3.1 HE sector in Wales

Although Wales is a small country it has a diverse HE landscape which is made up of 12 institutions that are very different in terms of their size, mission, resources and user base, but which, nevertheless, share a common agenda as defined by the Welsh Assembly Government. In this respect the HE sector in Wales constitutes an excellent test-bed for collaborative actions of the kind envisaged in this bid. It is sufficiently large to permit a strategic perspective, sufficiently diverse to include different organisational models and hardware configurations but at the same time sufficiently small for collaboration to be manageable and to make a real difference.

3.2 WHELFF

WHELFF is a membership organisation consisting of the Chief Librarians and/or Directors of Information Services of all twelve HEIs in Wales, plus the Open University, chaired by the Librarian of the National Library of Wales, a key national institution and leading player in developing the Welsh digital heritage. WHELFF has long promoted a holistic vision of library and information provision in Wales and has played a key role in promoting and facilitating the sharing of expertise and development of collaborative activities in the HE library and information sector. The WHELFF Action Plan⁷ reflects the widely held view that collaboration provides a strategic, cost-effective and technically astute approach to many areas of common concern in the Welsh HE sector. Having already established a successful track record in

⁷ <http://whelf.ac.uk/initiatives.shtml>

delivering collaborative projects, WHELF is well placed to contribute community knowledge, a ready-made collaboration infrastructure and the prospect of long-term sustainability to the WRN Start-Up Project.

3.3 Repository Support Project (RSP)

It is important that this bid is viewed within the context created by the Repository Support Project, a major £1.4m project that forms a centre-piece of the 03/06 Repositories and Preservation Programme. The aim of the RSP is to encourage the wider take-up and development of institutional repositories in England and Wales by providing institutions with guidance and advice on a wide range of practical issues to do with the creation, management and development of digital institutional repositories. In recognition of the particular needs of Wales the RSP makes explicit provision for a high level of hands-on practical support for Welsh HEIs. As one of the three lead partners UWA will have particular responsibility for servicing the needs of Welsh HEIs, using its 2.5 FTE project staff to deliver a comprehensive portfolio of technical, organisational and operational support, including site visits to every Welsh HEI on a quarterly basis. JISC support for the WRN Start-Up Project would enable the RSP to perform a more effective job in Wales and allow institutions to gain maximum benefit from the practical assistance available from the RSP until the end of March 2009. In order to ensure synergy between the two projects the RSP Project Leader in Wales will also manage the WRN Start-Up Project.

4. PROJECT DESCRIPTION

The immediate aim of this project is to provide each HEI in Wales with the hardware capacity it requires in order to create and develop a fully functional institutional repository. A more strategic aim is to build the foundations for a distributed repository infrastructure that can ultimately support a range of user-oriented search, resource discovery and preservation services designed to open up access to Welsh intellectual assets and contribute to the construction of a UK-wide repository infrastructure.

4.1 Project Plan

In practical terms the project may be divided into three distinct phases, each represented by a separate work package.

<i>Work Package</i>	<i>Objectives</i>	<i>Timescale</i>
Work Package 1	Institutional system and hardware requirements <i>Needs assessment - survey –site visits</i>	Months 1 - 3
Work Package 2	Procurement programme <i>Specification - procurement – configuration</i>	Month 4 - 9
Work Package 3	Monitoring and evaluation <i>Institutional reports - case studies - Project evaluation</i>	Until March 2009

In constructing this Work Plan care has been taken to avoid duplicating support work that has already been provided for within the RSP remit. It will not be a function of the WRN Start-Up Project, for instance, to provide advice and guidance on the selection, installation and customisation of repository software. Once hardware has been procured it will be the

responsibility of RSP staff based at UWA to work with staff in each institution to develop a suitable open source solution using their joint knowledge of institutional needs, local systems and repository platform requirements.

Work Package 1: Institutional requirements

In recognition of the need for hardware solutions to be tailored to the institutional needs of HEIs that include a very large research-led institution, several research-oriented medium sized institutions and a number of mainly teaching-led institutions, the first phase of the project will consist of liaison with host institutions on their preferred hardware configuration, taking account, for instance, of existing operating systems and hardware configurations as well as levels of local IT support. A questionnaire survey will be undertaken to collect basic information and follow-up site visits will be undertaken to discuss options and preferred choices. The needs of institutions that might wish to associate repository development with preparations for the Research Assessment Exercise will be taken into account, as will organisational relationships still being forged between institutions as part of the collaboration and re-configuration agenda established by the Welsh Assembly Government.

Work Package 2: Specification and procurement

In order to use limited funds in the most cost-effective way, consideration will be given to a variety of organisational arrangements and technical configurations, including enhanced resilience and capacity for existing pilot repositories, dedicated, stand-alone hardware for other institutions and hosted arrangements for smaller institutions that might not otherwise have sufficient IT resource to sustain local repository development. Either way, all institutions will be provided with hardware solutions that meet their institutional requirements and that is compatible with the development of an interoperable network of independent, open access repositories based on international standards and protocols. Once procurement and installation is complete RSP staff will monitor system performance and will advise on maintenance, repair, re-configuration and upgrade as necessary during the period up to the end of March 2009.

Work Package 3: Evaluation

During the third phase of the project the emphasis will be on assessment, evaluation and dissemination as a means of informing future repository development in Wales and sharing knowledge and understanding with the wider JISC community. Each partner institution will be required to prepare a report on its own system configuration, performance and suitability by January 2009 and project staff will themselves monitor the implementation process and collate additional feedback from RSP activities. Comparisons will be drawn, for instance, between the experiences of institutions that run stand-alone hardware and those that opt for hosting arrangements based on local institutional clusters and on the varying experiences of institutions developing different repository types. The lessons to be drawn from the experiences of all partner institutions will be drawn together in a final project report which will include practical case studies, exemplars and evidence-based data that will inform judgements on the future shape of the repository framework in Wales, including the balance between local and central, regional and national provision and about what collaborative services might be subsequently developed collaboratively, particularly in conjunction with the National Library of Wales.

4.2 Deliverables

- At its most practical level the principal deliverable will be the provision of repository hardware capacity in each and every HEI in Wales which, in combination with the hands-on technical support to be provided by the RSP, will enable all 12 HEIs to have functional institutional repositories by the end of 2007 at the latest
- At a more strategic level the WRN Start-Up Project will deliver the foundations for an interoperable network of institutional repositories in Wales based on common standards and international protocols
- More generally, the project will contribute reports, case studies and test sites that will provide the wider JISC community with practical insights into the process of matching alternative organisational models, repository types and hardware configurations to different geographical and institutional settings. In this respect the project will complement the IRIScotland Project⁸

4.3 Impact

It is expected that the benefits to the JISC community at large and to the Welsh HE sector in particular will far outweigh the relatively modest financial contribution that is requested from the JISC Capital Programme. The WRN Start-Up Project will:

- trigger creation of 10 new open access digital institutional repositories and place an additional 2 pilot repositories on a firm footing, thereby building capacity and contributing to the achievement of critical mass that is an objective of the Start-Up strand of the Repositories and Preservation Programme
- provide a unique opportunity for Welsh HEIs to participate in repository development much earlier than would otherwise be possible and enable Welsh HEIs to obtain maximum benefit from the considerable public funds that have recently been invested in the RSP
- act as a crucial milestone along the way towards the creation of a platform for the development of specialist user-oriented resource discovery and search services that will open up international access to Welsh research and other digital content
- act as a catalyst for institutional commitment to open access in Wales and provide a powerful stimulus to collaborative repository development based on best practice and common standards
- address the Welsh Assembly Government *Reaching Higher* agenda in providing value for money and institutional efficiencies through collaborative provision and the shared use of expertise and experience

⁸ <http://www.iriscotland.lib.ed.ac.uk/>

4.4 Risks

Risk	Impact	Likelihood	Control
Hardware unfit for purpose	High	Low	Bilateral discussions with IT staff in each HEI to specify requirements
Hardware failure	High	Low	Warranty and maintenance contracts. Integration with institutional back-up, disaster recovery procedures
Loss of key project staff	High	Low	Resilience provided by institutional IT departments and RSP staff
Lack of HEI ownership & buy-in to WRN vision	Medium	Medium	Advocacy. Community pressure
Lack of synergy with RSP	Medium	Low	RSP and Start-Up project based at UWA under the same Project Leader

4.5 Intellectual Property

It is not anticipated that the project will generate any specific deliverable over which IPR will need to be granted. All hardware solutions and other work related to the configuration and installation process will be made available to RSP staff and to the wider JISC community through project reports.

4.6 Sustainability

Practical support for repository development, including a regular cycle of site visits to each HEI, will be provided by RSP staff based at UWA until the end of March 2009. By the end of the RSP project it is expected that the need for external support will have diminished to a level that will be possible to manage through existing collaborative structures, notably WHELF and its sister organization HEWIT (Higher Education Wales Information Technology Forum⁹).

4.7 Institutional commitment

Each of the 12 HE institutions represented in WHELF wish to take the opportunity provided by the Repositories and Preservation Programme to engage with and take local ownership of the repository agenda. At an institutional level senior officers have expressed their strategic commitment to the development of open access repositories and to their embedding within the institutional framework, as indicated in the letters of support attached to this bid. At an equally vital operational level, Chief Librarians and Directors of Information Services of Welsh HEIs have signalled their commitment by making repository development one of the key priorities of the current WHELF Action Plan. In this regard, a letter of support is also included from the Librarian of the National Library of Wales, signalling not only his support for the development of open access repositories in Wales but also the willingness of the National Library to participate in future user-oriented service developments relating to resource discovery, the aggregation of digital content and preservation in areas of particular relevance to Wales. A strong endorsement for the bid has also been received from the Open University.

⁹ <http://www.inf.aber.ac.uk/hewit/>

5. BUDGET

5.1 Project costs

The budget associated with this consortium Start-Up Project bid is composed of the following main elements:

- *Hardware costs.* As indicated earlier, it will be an aim of this project to consider whatever hardware solutions seem most appropriate for individual institutions or clusters of institutions in Wales. For the purpose of financial planning a benchmark of £4,000 per institution has been used to estimate budgetary requirements for the initial purchase of hardware.
- *Institutional costs.* Each institution will be expected to allocate IT and other staff time to the project. This has been estimated as a total of one FTE month per institution over the duration of the project, with a significant proportion of staff time being invested in the first 9 months, particularly in respect of the specification, procurement, configuration and installation of hardware and its assimilation into institutional IT and networking infrastructures. In addition, an initial set-up cost of £1,200 per annum per institution has been included to cover such essential services as hardware maintenance, back-up, updates, security, networking, anti-virus measures, etc and a follow-up cost of £600 per institution for second year maintenance and other essential running costs. The costs of RSP staff support are not included since they are already covered by the RSP budget.
- *Project management.* The Project Manager will act as the principal point of contact with institutions during the initial period when hardware solutions are being considered and specified. He will co-ordinate the procurement process, prepare project reports and liaise with JISC programme managers. In view of the fact that the Project Manager will also act as Project Leader for the RSP project in Wales, budget provision is made only for activities that are separate from and not provided for by the RSP budget. These are, primarily, 2 days per institution for site visits and follow-up discussions specifically in respect of system specification and procurement, 1 day a month for 9 months for general project management and 5 days for subsequent report preparation. Ongoing support for software installation and use is provided for in the RSP project and is not included here. The time of the Project Director has not been charged.

5.2 Indirect costs & Match Funding

The Full Economic Costing schedule used by UWA has been used to calculate indirect costs, with staff costs for each of the 12 institutions being aggregated (12 x one FTE month) and added to the 38 days of project management time incurred by UWA staff. In view of the nature of this bid no request is made for a JISC contribution to indirect costs. The relatively low percentage of funding requested from JISC (35.2%) not only reflects a genuine institutional commitment to repository development but also a recognition that JISC funding can act as a crucial catalyst for institutional developments that will bring significant benefits to the institutions separately and to the Welsh HE sector generally.

Directly Incurred Staff	March 07	April 07– March 08	April 08– March 09	TOTAL £
Project Manager ¹	£	£5,782	£876	£6,658
Total Directly Incurred Staff (A)	£	£5,782	£876	£6,658
Non-Staff	March 07	April 07– March 08	April 08– March 09	TOTAL £
Travel and expenses ²	£	£2,400	£0	£2,400
Hardware ³	£	£48,000	£0	£48,000
Evaluation	£	£	£1,000	£1,000
Total Directly Incurred Non-Staff (B)	£	£50,400	£1,000	£51,400
Directly Incurred Total (A+B=C) (C)	£	£56,182	£1,876	£58,058
Directly Allocated	March 07	April 07– March 08	April 08– March 09	TOTAL £
HEI Staff costs ⁴	£	£35,040	£0	£35,040
Systems - set up ⁵	£	£14,400	£0	£14,400
Systems – maintenance ⁶	£	£0	£7,200	£7,200
Directly Allocated Total (D)	£	£49,440	£7,200	£56,640
Indirect Costs (E)	£	£49,166	£949	£50,115
Total Project Cost (C+D+E)	£	£154,788	£10,025	£164,813
Amount Requested from JISC	£	£56,182	£1,876	£58,058
Institutional Contributions	£	£98,606	£8,149	£106,755
Percentage Contributions over the life of the project		JISC 35.2%	Partners 64.8 %	Total 100%

Notes

1. Two days per institution for procurement; 1 day a month for 9 months project management; 5 days report preparation
2. 12 Site visits @ £200 per visit for travel and expenses
3. £4,000 per institution for servers and associated hardware
4. 1 FTE month per HEI
5. Set up costs, including back-up, networking, security, anti-virus protection, etc.
6. Essential maintenance and running costs for 2nd year

6. PROJECT PARTNERS

6.1 Lead Partner

The lead partner in this consortium Start-Up Project bid is the University of Wales Aberystwyth. The Project Director will be Dr Mike Hopkins, Director of Information Services, UWA and the Project Manager will be Mr Stuart Lewis, Information Services UWA. Dr Hopkins is currently Project Director (Wales) for the Repository Support Project (RSP) and for the Robot-generated Open Access Data (ROAD) project, both funded by JISC as a result of the 03/06 Repositories and Preservation Programme call. Stuart Lewis is Project Leader (Wales) for the RSP and Project Manager for the ROAD project. Stuart Lewis was also Project Manager for the successful JISC 03/05 funded Repository Bridge¹⁰ project, creating infrastructure to allow the automatic harvesting of electronic theses to a Welsh hub at the National Library of Wales and has also been involved in the EThOS¹¹ project. He is the inaugural Chair of the UK and Ireland DSpace User Group and a DSpace Committer.

6.2 WHELP institutions

The 12 Welsh HEIs associated with this bid are as follows.

<i>University</i>	<i>WHELP Representative</i>
Cardiff University	Janet Peters, University Librarian and Senior Assistant Director of Information Services
North East Wales Institute, Wrexham	Paul Jeorrett, User Services Manager
Royal Welsh College of Music and Drama, Cardiff	Judith Agus, Librarian
Swansea Institute of Higher Education	Tony Lamb, Head of Library and Learning Resources
Swansea University	Chris West, Director of Library and Information Services
Trinity College, Carmarthen	Sally Wilkinson, Director of Learning Resources
University of Glamorgan	Jeremy Atkinson, Director of Learning and Corporate Support Services
University of Wales, Aberystwyth	Mike Hopkins, Director of Information Services
University of Wales, Bangor	Alison Mackenzie, University Librarian
University of Wales, Lampeter	Miriam Perrett, Systems Librarian
University of Wales, Newport	Lesley May, Head of Library Services
University of Wales Institute, Cardiff	Paul Riley, Head of Library Division

7. PROJECT MANAGEMENT

Reports on progress and feedback from consortium partners will be built into the regular cycle of WHELP business meetings, which consist of two residential management meetings per annum plus two video-conferences. In addition, a WHELP Advisory Group will be established, consisting of repository managers and experts from each of the 12 institutions, to provide guidance, advice and feedback. The Project Manager will work closely with the RSP and with JISC programme managers.

¹⁰ <http://www.inf.aber.ac.uk/bridge/>

¹¹ <http://www.ethos.ac.uk/>