

**Repositories and Preservation Proposal Cover Sheet**

<b>Cover Sheet for Proposals</b> (All sections must be completed)		<b>JISC Capital Programme</b>
<b>Name of Capital Programme:</b> Repositories and Preservation Programme		
<b>Bid for Call Area :</b> (Please tick ONE BOX ONLY, as appropriate)		
<b>Tools and Innovation (Strand B)</b>		
<input type="checkbox"/>	<b>Call Area I – Tools and Innovation Projects</b>	Please specify area of proposed project eg 'metadata generation and validation'
<b>Discovery to Delivery (Strand C)</b>		
<input type="checkbox"/>	<b>Call Area II – Discovery to Delivery Projects</b>	<input type="checkbox"/> a) Version identification framework <input type="checkbox"/> b) Persistent identifier interoperability demonstrator <input type="checkbox"/> c) Federated access management and repositories <input type="checkbox"/> d) Semantic interoperability demonstrator
<b>Repository Start-Up and Enhancement (Strand D)</b>		
<input type="checkbox"/>	<b>Call Area III – Repository Start-Up and Enhancement Projects</b>	<input checked="" type="checkbox"/> a) Repository start-up projects <input type="checkbox"/> b) Repository enhancement projects
<b>Digital Preservation and Records Management (Strand H)</b>		
<input type="checkbox"/>	<b>Call Area IV – Digital Preservation and Records Management Projects</b>	<input type="checkbox"/> a) Digital preservation across the lifecycle <input type="checkbox"/> b) Models and implementation of preservation services <input type="checkbox"/> c) Preservation tools development
<b>Shared Infrastructure Services (Strand I)</b>		
<input type="checkbox"/>	<b>Call Area V – Shared Infrastructure Services Projects</b>	<input type="checkbox"/> a) Pilot implementation of licence registry <input type="checkbox"/> b) Pilot national name and factual authority service <input type="checkbox"/> c) Scoping an architecture to support digital policy management <input type="checkbox"/> d) Scoping a terminology registry
<b>Name of Lead Institution:</b>		<b>University of Hertfordshire</b>
<b>Name of Proposed Project:</b>		<b>UHRA (University of Hertfordshire Research Archive)</b>
<b>Name(s) of Project Partner(s):</b> None		
<b>Full Contact Details for Primary Contact:</b>		
<b>Name:</b>	Mr David Piper	
<b>Position:</b>	Director of Learning Technology	
<b>Email:</b>	<a href="mailto:d.piper@herts.ac.uk">d.piper@herts.ac.uk</a>	
<b>Address:</b>	University of Hertfordshire, Learning Resources Centre, College Lane, Hatfield, HERTS. AL10 9AD	
<b>Tel:</b>	01707 284700	
<b>Fax:</b>	01707 284666	

<b>Length of Project:</b> Two years		
<b>Project Start Date:</b> March 2007	<b>Project End Date:</b> March 2009	
<b>Total Funding Requested from JISC:</b> £30,000		
<b>Funding Broken Down over Financial Years (April – March):</b>		
<b>Apr06 – Mar07</b>	<b>Apr07 – Mar08</b>	<b>Apr08 – Mar09</b>
	£30,000	
<b>Total Institutional Contributions:</b> £96,370		
<b>Percentage Contributions over the Life of the Project:</b>	<b>JISC</b> 24%	<b>PARTNERS</b> 76%
<b>Outline Project Description</b>		
<p>The UHRA ( University of Hertfordshire Research Archive) Project will provide a well populated and self sustaining digital repository of UH research publications in various media. It will contribute to enhancing national and international scholarly communications through open access to research outputs.</p> <p>The project will work within the JISC IE and will help to take forward the national development of repositories. Outcomes will include transferable good practice models for populating the archive and embedding self archiving.</p>		
<b>I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box)</b>	<b>YES</b> √	<b>NO</b>
<b>I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box)</b>	<b>YES</b> √	<b>NO</b>

# UHRA (University of Hertfordshire Research Archive)

## 1. Introduction

The University of Hertfordshire has substantial highly regarded research activity across a range of subject disciplines, including astrophysics, computer science, engineering, nursing and midwifery, pharmacy, psychology, social work and social policy, education, history, philosophy, english, business and management, art and design, and music. Recognition of the University's research excellence is demonstrated by a long-standing proven applied research track record and the recent selection by HEFCE of Hertfordshire as one of five universities to take forward the 'third stream as second mission' business inter-action agenda, as well as by successive Research Assessment Exercises. The diverse research disciplines and activities generate research outputs in a range of formats and media.

The University has made an institutional commitment to increasing access to scholarly communications through the establishment of an institutional repository of research outputs. The repository is called the University of Hertfordshire Research Archive (UHRA). A working group was established by the University's Research Committee in 2005 to take forward this development.

The significant progress already achieved demonstrates the University's commitment to this development and provides a solid base to progress the project from the outset.

The completed work includes:

- Evaluation of available repository software applications and selection of DSpace as the appropriate option for Hertfordshire
- Establishment of a resilient technical infrastructure based on two servers in diverse locations
- Implementation of a basic DSpace installation at <https://uhra.herts.ac.uk/dspace/>
- Agreement on the structure of communities and collections within DSpace
- Individual accounts for academic / research staff and their assignment as submitters to specific collections
- Processes set-up to support bulk import of content from any existing local databases and files
- UH Research Committee commitment to a mandatory policy for deposit of published journal articles and conference papers, etc subject to publishers' policies and permissions and for deposit of higher degree theses.
- A University publications database containing records of over 3,500 UH research publications, providing a consolidated resource to underpin the creation of repository content.

The next stage project that is set out in this bid will build on this robust foundation to address the two critical requirements for a successful repository. Additionally the implementation of the UH repository will be completed and this will contribute to enhancing national and international scholarly communications through open access to research outputs.

The aims of this next stage of UHRA development described within this project proposal are:

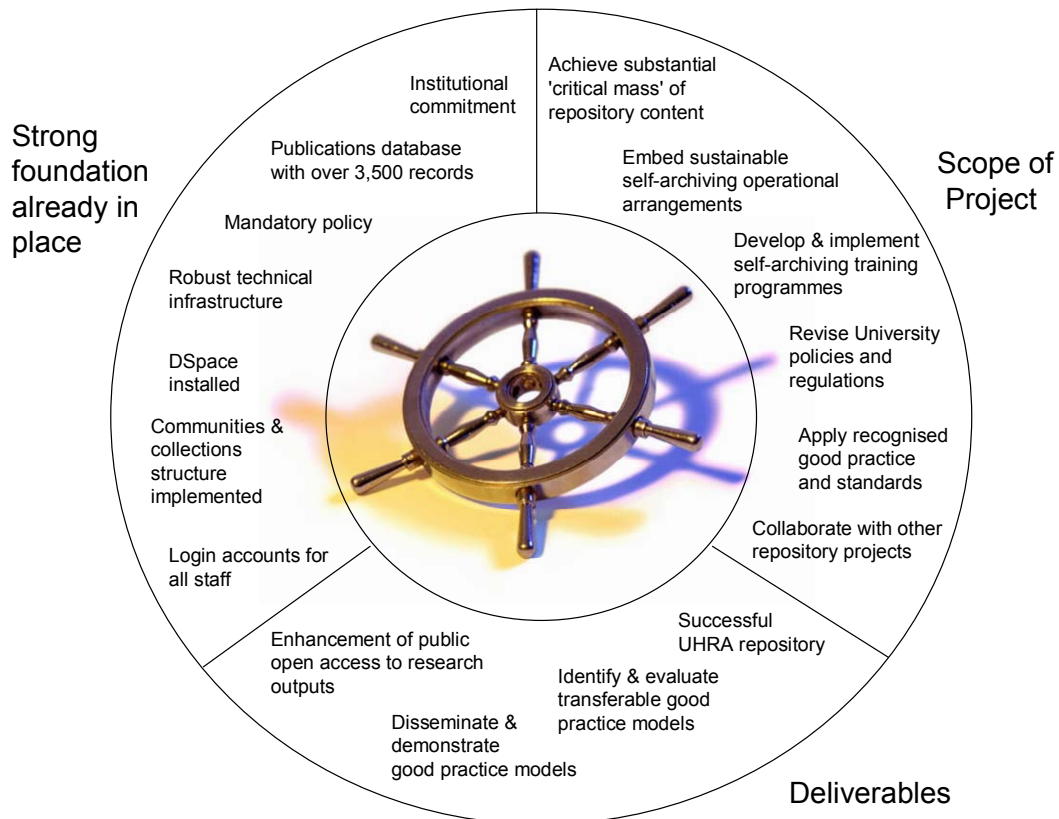
1. To achieve a substantial 'critical mass' repository content
2. To embed sustainable self-archiving operational arrangements and practice across the University
3. To contribute to the enhancement of open access to research outputs for all through completion of the UH Research Archive.
4. To identify, evaluate and disseminate transferable good practice models in respect of 1 and 2 above.
5. To participate in the JISC funded network of digital repositories

Evidence from other repository initiatives strongly suggests that the achievement of these goals can present major challenges in establishing successful meaningful repository provision. At the University of Hertfordshire, we have a strong track record of successful and coherent institution-wide implementation of pervasive digital systems, of the establishment of distributed responsibilities and self-service operation built into business processes and workflow, of the achievement of high levels of academic staff 'buy-in' and 'self-service', and of effective supporting training programmes. We are committed to applying existing good practice and relevant standards in the implementation and the management of the UHRA and will produce case studies based on our experience.

It is envisaged that the project will run from March 07 – March 09. The requested JISC funding of £30,000 is required for the period April 07 – March 08. The University of Hertfordshire will commit substantial resources to ensure that the project is successful. The JISC funding will pay for an additional Project Officer post which will enable faster population of repository content as we will be able to provide more assistance to researchers.

We are confident not only that the funding support requested for this project will contribute to achieving the goals for Hertfordshire, but also to providing transferable models both for effective self-archiving and content acquisition and for efficient sustainable operational arrangements. These will be of benefit to the HE and research communities and contribute to the JISC Repositories and Preservation Programme.

## 2. Project Description



## 2.1 Project plan and Timetable

When	Action
<b>Work package 1 Project management</b>	
Mar 2007	Establish Steering Group
Mar 2007	Agree project plan with JISC
Mar 2007	Establishment of project website and publicise project details
Ongoing	Bi-monthly meetings to monitor progress, advise project team and agree requirements
Ongoing	Monthly progress reports
Ongoing	Reports in line with JISC requirements
<b>Deliverables:</b>	<ul style="list-style-type: none"> <li>• Creation of the management structures, project plan, reports and external promotion through project website.</li> <li>• Final report to JISC</li> </ul>
<b>Work package 2 Establishment of UHRA repository</b>	
Completed	Server installation and DSpace software installation
Jun 2007	Customisation of Dspace user interface for UH
Completed	University agreement on names of collections
Completed	Accounts created for all staff and assignment to collections
Completed	Processes to update / delete account details
Completed	Support processes – eg password changes
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• Functional digital repository</li> </ul>
<b>Work package 3 Integration with The JISC Information Environment (JISC IE) technical architecture</b>	
Jun 2007	Report on adoption of current and emerging standards for UHRA in line with JISC Information Environment and Repositories Programme
Sep 2007	Apply recognised good practice and standards
Ongoing	Collaborate with other repository projects
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• Report on adoption of current and emerging standards</li> <li>• UHRA compliance with current and emerging standards for repositories</li> </ul>
<b>Work package 4 Achieve critical mass of repository content</b>	
Dec 2006 – Dec 2007	Obtain and upload research output content for the publications listed in the existing publications database
Nov 2006 - Ongoing	Contribute relevant publisher policy and permissions information to the SHERPA/ROMEEO database
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• Retrospective loading of all UH research publications when permissions allow</li> <li>• Report on issues arising in connection with publishers policies and permissions</li> <li>• Contribution to SHERPA/ROMEEO database</li> </ul>
<b>Work package 5 Establish self-archiving arrangements</b>	
Completed	University of Hertfordshire mandate for research outputs to be deposited in the UHRA
Completed	Establish key contacts for UHRA in each Research Institute / Centre.

Mar 2007	Agree standards and processes with Research Institutes for submitting research outputs to UHRA and revise University policies and regulations.
Mar 2007	Agree policy and procedures for self archiving, including management of copyright .
Mar 2007	Agree policy and processes for assisted batch uploading
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• Documented processes for self archiving and for assisted batch uploading.</li> <li>• Report of effectiveness of implementation of self-archiving</li> </ul>
<b>Work package 6: Implement self-archiving arrangements</b>	
Completed	One-to-one support for pilot individuals as a learning process for the project team to inform training programme and procedures.
Jan 2007	Training sessions for key research staff on submission procedure
Feb 2007	Step by step self-archiving guide – information on submission and copyright and permissions issues.
From Feb 2007	Rolling programme of training sessions for all staff on submission procedure
Ongoing	New staff – process for notifying and training all new staff about UHRA embedded within UH induction and training programmes.
Mar 2007	Advice and help guides made available on UHRA and through UH StudyNet / intranet.
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• Documented advice and support and training materials</li> </ul>
<b>Work package 7: Promotion and Dissemination</b>	
Ongoing	Internal promotion including a UHRA launch event, progress reports to Research Committee and via UH news channels
Ongoing	External including: <ul style="list-style-type: none"> <li>• Project web site</li> <li>• Public access to UHRA</li> <li>• Presentations at relevant events</li> <li>• Case study</li> </ul>
<b>Deliverables</b>	<ul style="list-style-type: none"> <li>• External promotion and dissemination</li> <li>• Report on usage and impact measures</li> </ul>

## 2.3 Deliverables

2.3.1 Establishment of a successful UHRA repository. The UHRA project will provide all the building blocks for embedding a self sustaining research archive within the workflow processes of the University and its Research Institutes, including :

- Creation of the management structures, project plan, reports and promotion through project website.
- Functional digital repository
- Retrospective loading of all UH research publications when permissions allow and embedding of self archiving
- Documented processes for self archiving and for assisted batch uploading.
- Report of effectiveness of implementation of self-archiving
- Report on usage and impact measures
- Documented advice and support and training material

### 2.3.2 Enhancement of public open access to research outputs.

- A particular feature of the UHRA will be the inclusion of several types of media, from astrophysics data, art and electronic media, as well as text-based research outputs .

### 2.3.3 Identify and evaluate good practice models

- A website with advice / help to ensure a clear message on repository use is presented to staff and end-users.
- UHRA compliance with current and emerging standards for repositories
- Report on adoption of current and emerging standard

### 2.3.4 Disseminate and demonstrate good practice models

- Case study of the people and process issues and on developing good practice models
- External promotion and dissemination

### 2.3.5 Support the national development of repositories

- Report on issues arising in connection with publishers policies and permissions
- Contribution to SHERPA/ROMEIO database

### 2.3.6 Final report to JISC

## 2.4 Risks

### 2.4.1 Strategic risks

These include the possibility of lack of support from senior management. As stated this is an ongoing project already agreed through the University committee structure and any required changes to regulations are in process

### 2.4.2 Planning and quality risks

These include lack of clear planning process, poorly defined work packages and lack of institutional/ researcher input to development. These are all detailed in the work packages.

### 2.4.3 Implementation risks

The use of DSpace provides a proven platform to deliver the service and some aspects of the repository will be operational at the beginning of the project.

### 2.4.4 Technical framework, operation and support risks

Risks include ease of use, security of personal data, IPR and copyright issues Operational policies and procedures will be developed to manage these risks

### 2.4.5 Change management risks

These include the risks that research active staff will not participate and will be managed through ongoing monitoring, evaluation and dialogue. The University of Hertfordshire has a very successful record in managing the implementation of systems and change management principles, recognising the importance of top-down and bottom-up, will continue to be applied

## **2.5 Project outcomes**

### **2.5.1 Successful UHRA repository**

- The UHRA project will provide all the building blocks for embedding a self sustaining research archive within the workflow processes of University of Hertfordshire research.

### **2.5.2 Enhancement of public open access to research outputs**

- A particular feature of the UHRA will be the inclusion of several types of media, from astrophysics data, art and electronic media, as well as print publications .

### **2.5.3 Identify and evaluate good practice models**

- Work within the JISC Information Environment and IMS Digital Repositories Interoperability - Core Functions Best Practice Guide

### **2.5.4 Disseminate and demonstrate good practice models**

- Attendance at JISC events
- Case study of the people and process issues

### **2.5.5 Support the national development of repositories**

- Share lessons and to participate in the evolving JISC-funded network of digital repositories.
- Feedback to SHERPA/Romeo - to update the national database
- Work with the Repositories Support Project

## **2.6 Intellectual property rights (IPR)**

All deliverables produced by the UHRA project will be made available to the HEI community under a completely free and open source license model. The project will conform to JISC requirements for IPR and website availability..

## **2.7 Sustainability issues.**

The University is committed to a self sustaining self archiving policy which is mandatory for all new research output. This will be easier to achieve once the UHRA holds a substantial amount of the previously published staff research and one outcome from the UHRA project is that depositing will become embedded as a standard process within the research publication cycle

### 3 Budget

<b>Directly Incurred Staff</b>	<b>March 07</b>	<b>April 07– March 08</b>	<b>April 08– March 09</b>	<b>TOTAL £</b>
<b>Total Directly Incurred Staff (A)</b>				
<b>Non-Staff</b>	<b>March 07</b>	<b>April 07– March 08</b>	<b>April 08– March 09</b>	<b>TOTAL £</b>
Travel and expenses	£	£250	£250	£500
Hardware/software	£	£	£	£
Dissemination	£	£1,000	£1,000	£2,000
Evaluation	£	£1,000	£1,000	£2,000
Other	£	£	£	£
<b>Total Directly Incurred Non-Staff (B)</b>	<b>£</b>	<b>£2,250</b>	<b>£2,250</b>	<b>£4,500</b>
<b>Directly Incurred Total (A+B=C) (C)</b>	<b>£</b>	<b>£2,250</b>	<b>£2,250</b>	<b>£4,500</b>
<b>Directly Allocated</b>	<b>March 07</b>	<b>April 07– March 08</b>	<b>April 08– March 09</b>	<b>TOTAL £</b>
Staff Director of Learning Technology 3% of AM4 pt14	£205	£2,295	£2,573	£5,073
Staff LIS Research Consultant 20% of UH8 pt38.	£716	£8,904	£8,616	£18,236
Staff UHRA Project Office 100% of UH6 scp28 <b>Mar 07 to Mar 08 only</b>	£2,653	£30,076		£32,729
Staff Copyright and Licensing Officer 10% of UH7 pt30	£282	£3,501	£3,387	£7,170
Staff Systems Administrator 3% of UH8 pt 41	£118	£1,464	£1,417	£2,999
Estates	£352	£3,915	£1,160	£5,427
<b>Directly Allocated Total (D)</b>	<b>£4,326</b>	<b>£50,155</b>	<b>£17,153</b>	<b>£71,634</b>
<b>Indirect Costs (E)</b>	<b>£3,249</b>	<b>£36,249</b>	<b>£10,738</b>	<b>£50,236</b>
<b>Total Project Cost (C+D+E)</b>	<b>£7,575</b>	<b>£88,654</b>	<b>£30,141</b>	<b>£126,370</b>
<b>Amount Requested from JISC</b>	<b>£0</b>	<b>£30,000</b>	<b>£0</b>	<b>£30,000</b>

<b>Institutional Contributions</b>	<b>£7,575</b>	<b>£58,654</b>	<b>£30,141</b>	<b>£96,370</b>
<b>Percentage Contributions over the life of the project</b>		<b>JISC 24 %</b>	<b>Partners 76 %</b>	<b>Total 100%</b>

#### **4. Key Personnel**

The University of Hertfordshire is committed to the implementation of a successful, well populated and self sustaining research archive and will support this by providing an experienced team

##### **4.1 Project staff**

David Piper Project Director.

Currently Director of Learning Technology at the University of Hertfordshire. 25 years experience of developing and managing computer systems. Project experience includes Project Director of the EELLS project <http://www.jisc.ac.uk/index.cfm?name=eells>

Monica Rivers-Latham Project Manager

Monica is the UH LIS Research Support Consultant with primary responsibility for providing LIS advice and support for the research activities of the University. Monica will be responsible for the training sessions and help documentation and will lead on the workflow and case studies..

Gill Hall Project Officer

Gill Hall has been a Chartered Librarian since 1975 and has held a variety of posts in the FE and local authority sectors with extended experience of library cataloguing as well as expert use of information resources Gill is currently employed on a casual contract to do some infrastructure development for the UHRA. The JISC funding will allow extension of her contract for one year and will provide the opportunity to provide assistance to researchers archiving their publications. Experience at other institutions strongly suggests that it is difficult to get researchers to initially engage with self archiving without some central support and assistance. Gill will also assist with the evaluation and case studies.

Subodh Kumar Systems Administration

Subodh is the Development Manager (Systems & Applications) and has 35 years experience of installing and maintaining Unix servers and applications.

Celia Sterne Copyright and Licences Officer

Celia will advise on copyright process and will assist with any staff copyright issues

##### **4.2 UHRA Management Group**

An existing sub group of Research Committee with membership from the Heads of Research Institutes and from the project team will agree the implementation plan and manage dissemination on progress and enable feedback from all staff.

**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.

<b>Section / Paragraph No.</b>	<b>Relevant exemption from disclosure under FOI</b>	<b>Justification</b>
<b>NONE</b>		