


Cover Sheet for Proposals <i>(All sections must be completed)</i>			
Name of Capital Programme: Repositories and Preservation Programme			
Bid for Calls : (Please tick ONE BOX ONLY, as appropriate)			
Discovery to Delivery and Interoperability Demonstrators (Strand C)			
	Call I – Interoperability Demonstrators	<input type="checkbox"/> a) Interoperability demonstrators	
Repository Start-Up and Enhancement (Strand D)			
	Call II – Repository Start-Up and Enhancement Projects	<input checked="" type="checkbox"/> a) Repository start-up projects <input type="checkbox"/> b) Repository enhancement projects <input type="checkbox"/> c) Rapid innovation projects: enhancing repository content	
Digital Preservation Across the Lifecycle (Strand H)			
	Call III – Digital Preservation Across the Lifecycle	<input type="checkbox"/> a) Digital preservation across the lifecycle	
Name of Lead Institution: University of East London			
Name of Proposed Project: Institutional Repository			
Name(s) of Project Partner(s): Not Applicable			
Full Contact Details for Primary Contact:			
Name: Paul Chopra			
Position: Stratford Campus Librarian			
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Tel No: 0208 223 4279			
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Length of Project: 18 months			
Project Start Date: October 2007		Project End Date: March 2009	

Total Funding Requested from JISC: £30,000		
Funding Broken Down over Financial Years (Mar – Apr):		
Sep07 - Mar08	Apr08 – Mar09	
£13,667	£16,333	
Total Institutional Contributions: £53,064		
<p>Outline Project Description</p> <p>The University of East London plans to undertake a project to establish an Institutional Repository (IR). The IR will initially provide access to UEL research outputs; facilitate interdisciplinary and cross – institutional research; provide multi point access to research outputs via the web and through integration with our VLE become embedded within learning and teaching. The IR will also support knowledge transfer from the research activities within the academic community to a wider audience through for example the Knowledge Dock (a UEL enterprise development service).</p> <p>JISC funding of £30k would enable the recruitment of one full time Repository Manager dedicated to the project. The Repository Manager, working with supporting colleagues in Library and Learning Services, will advocate the use of the repository through training and publicity. He/she will liaise with internal and external partners for negotiating and establishing procedures for the repository and will ensure its use to support research, learning and teaching, and knowledge transfer.</p> <p>The project has the full support of our Pro Vice Chancellor (Research), Academic Board Research Committee, Graduate School, and Director of Library and Learning Services.</p>		
I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box)	YES ✓	NO
I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box)	YES ✓	NO

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
3. Budgets (directly allocated costs)	S.40 Personal information	The section contains information from which personal salary data may be calculated. Public release of data could cause distress and damage to individuals. Third parties should be contacted for views on release of information, if requested.
4. Key Personnel	S.40 Personal information	Public release of data could cause distress and damage to individuals. Third parties should be contacted for views on release of information, if requested.

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

PRO VICE-CHANCELLOR
RESEARCH, OUTREACH AND INFRASTRUCTURE
Professor Alan Sibbald BSc(Hons) MSc PhD CEng

UEL
University of
East London
www.uel.ac.uk

20th June 2007

Nike Holmes
JISC Executive
Northavon House
Coldharbour Lane
Bristol
BS16 1QD

Dear Nike,

I am writing to confirm the University of East London's full support for the enclosed proposal under Strand D of the recent JISC call (JISC Circular 01/07).

The project is closely aligned with the university's strategic priorities, particularly with our Research and Scholarly Activity Strategy and our Information Management Strategy.

It has been wholly endorsed by our Academic Board Research Committee and our Graduate School, and it has the full support of our Library and Learning Services whose Director, Professor Andrew McDonald, will lead the implementation of the project. As you know Andrew has successfully led a number of JISC-funded projects, most recently our *Strategies for Managing ICT in Universities and Colleges Project* and currently our *East London Theatre Archive Digitisation Project*.

Yours sincerely,



Professor Alan Sibbald
Pro Vice Chancellor (Research Outreach & Infrastructure)



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The University of East London has campuses at London Docklands and Stratford
If you have any special access or communication requirements for your visit, please let us know. MINICOM 020 8223 2853

1. Introduction

This proposal relates to Strand D of the Repositories and Preservation Programme (Repository Start-up Projects).

This project will establish an Institutional Repository (IR) at the University of East London (UEL). The IR will initially contain all the research outputs currently held in the RAE databases of each of UEL's Schools. It will formally begin in October 2007 and end in March 2009. We will make use of existing experienced staff and we will recruit an additional member of staff for the project duration.

The creation of an IR is fully supported by our Research and Scholarship Strategy for 2003-2008 which reflects the values and vision of our university. UEL aims to be an inclusive, regional university, proud of our diversity, and renowned and recognised for our contribution to social, cultural and economic development, especially through our research and scholarship.

"We intend to accelerate the rate at which we move research and scholarship forward as an integral part of our academic agenda. The challenge for us is to put in place an institutional approach which will enable us to do this despite the implications of proposed government policy which inevitably will lead to a dilution of funding and barriers to us engaging in more world class research." As well as supporting the research culture within our institution the IR will enable important strategic priorities for knowledge transfer. Research and Scholarship Strategy 2003-2008, University of East London. 2004 A further university priority is to support research into learning and teaching.

The project will -

- Enable easy access to UEL research outputs (journal articles, conference papers etc.) by the wider research community.
 - o UEL will adopt open standards enabling the repository to link to national and international repositories. It will provide access to its metadata for harvesters.
- Facilitate interdisciplinary and cross - institution research partnerships by highlighting UEL's research expertise to the wider community
 - o The repository will be the central resource for administering UEL's research outputs.
- Exploit and develop the relationships between UEL research and enterprise by building on the University's strengths in enterprise activity, knowledge transfer and making freely available (where possible) research outputs that show how academic research benefits business, industry, and social or community activity.
 - o This will involve identifying, at a relatively early stage of the project, other potential stakeholders, including organisations and bodies who have a relationship with the University e.g. Knowledge Dock, Knowledge London, and Knowledge East. Knowledge Dock is the University of East London's enterprise development service, providing enterprising services for businesses, public and voluntary sector organisations, as well as to students and entrepreneurs
- Enable better exploitation of UEL learning and teaching activities, both within UEL and other educational institutions.
 - o The IR will be embedded in our learning and teaching activities, benefiting students at UEL and other institutions that create appropriate links.
 - o Links will be created to the UEL Virtual Learning Environment (UEL Direct)

- Demonstrate and promote research activity to potential research students.
- Capture and preserve the University's intellectual assets

The IR project has the support of several members of our university's Corporate Management Team, including the Pro Vice-Chancellor (Research) and the Director of Library and Learning, Services. It also has the full support of the university's Academic Board Research Committee and other key players, such as the Graduate School, School Research Leaders, and the Director of Knowledge Dock.

The project requires funding for a Repository Manager and this will ensure that the project meets the aims outlined above. The role will include:

- Establishing and negotiating University policies and procedures for use of the IR, and investigating and embedding best practice in the development and operational management of the Repository.
- Undertaking and supporting the cultural and process changes required to ensure that the deposit of content becomes part of the normal workflow of researchers and to develop the links with existing systems such as UEL Direct which will make it a valuable tool for both teaching and research.
- Identifying potential content from external partners who could exploit the repository for the benefit of the wider community and knowledge transfer. Specifically, investigating potential links arising from the University's unique location in East London, given our proximity to Canary Wharf and the Olympics venue - 2012 (Stratford) and its location within the Thames Gateway.
- Investigating and reflecting on the cultural, institutional and policy issues which affect the use and non-use of our repository at UEL and adapting our project to take account of these. Information from this activity will be shared in informal forums, such as exchange of experience events, and more formally through presentations or published papers. We will seek advice from the JISC-funded Repositories Research Team as to the most effective ways of both identifying best practice, and contributing to an understanding of how the benefits of repositories can be fully exploited.

JISC grant required

£30,000 for 1 Project Manager (including recruitment costs) for 18 months, October 2007 – March 2009. Main duties will include: Evaluating and selecting a platform for the ongoing metadata creation; support and training; day-to-day IR administration; data quality control; liaison with publishers and suppliers for copyright permissions; promotion; advocacy; upload of files in the chosen formats; and coordinating the digitisation of printed papers.

2. Project description

2.1 Objectives

- To develop an IR to enable electronic access to UEL research papers and other research outputs.
- To ensure that the IR reflects stakeholder requirements (stakeholders to include partners linked to the University where appropriate)
- To develop the processes and protocols to ensure that the IR is populated and exploited.
- To ensure that the repository links effectively with other national and international repositories and search services.
- To embed the IR into the working practices of the University

- To link the IR to UEL Direct (the VLE), the Library Management System, and to other institutional systems as appropriate.

2.2 Scope

- Identify user requirements.
- Evaluate, select and implement appropriate hardware and software or an alternative platform.
- Add content (via mediated approach and self-archiving)
- Undertake advocacy/marketing activity to integrate IR into working practices of the University's research community.
- Identify existing information resources providing expertise on IR's, such as SHERPA.
- Liaise with colleagues within M25, regional "information networks" and more widely in order to share experience and identify best practice.
- Identify and analyse any barriers to engagement with an IR at UEL (based on culture, lack of skills, processes etc.) and explore a means of overcoming these.
- Share findings with the wider "information" community via formal workshops and publication.
- Establish workflows related to the IR.
- Develop and implement appropriate policies and procedures to cover –
 - o Content and collection management
 - o Metadata policy
 - o Training and user support
 - o Privacy Policy
 - o Access and security
 - o Quality Assurance
 - o Data Protection
 - o Freedom of Information
 - o Copyright Law
 - o Intellectual Property Rights (IPR)
 - o Preservation/Archiving
 - o Storage space allocation
 - o IR systems management

2.3 Assumptions

- The IR project has the wide support of key players, including Pro Vice-Chancellor (Research), the Graduate School, School Research Leaders, and the Director of Knowledge Dock
 - o A requirement for researchers to deposit their output in the repository
 - o Inclusion of IR data in the University's internal research reporting and monitoring activities.
- The use of existing guidelines in developing and adapting policies for our own IR, drawing on the experience of other UK HEIs and from national advice services. We wish to benefit as widely as possible from the established experience of others, and to share our own experience with the wider information community.

2.4 UEL Software Requirements for IR

- Integration with UEL Direct

- o Where appropriate data entered in one system must be easily duplicated in the other (e.g. shared metadata)
- o Materials (articles, reports etc.) within IR to be accessible from UEL Direct.
- Ability to migrate data from a variety of sources / formats.
- Provision of a means of measuring usage, e.g. hits per record, downloads per record.
- To offer user reporting services, e.g. targeted notification of use.

Connections

- Capable of linking to other national/international repositories e.g. the proposed national database of British Theses [http:// www.ethos.ac.uk](http://www.ethos.ac.uk)
- Allows links from internal and external web pages, our own and other institutions' VLE, Library catalogues and other electronic information resources.
- Allows the import of existing metadata from elsewhere, e.g. EndNote, Web of Knowledge
- Accessibility – to encourage self-deposit of items and permit flexible, decentralized community based submission process as well as mediated deposit.
- Effective, accessible search interface

Flexibility/Document Management

- Identifies different types of author – UEL authors (as opposed to co-authors from other institutions), current UEL staff, staff who were here, but have moved, staff who are here, but have a publication record from another HEI, co-authors who are not UEL staff.
- Distinguishes between different levels of “publication” – pre-print, post-print, research thesis etc. (Document version control)
- Capable of storing information in all formats currently in general use.
- Capable of integrating with longer-term archival strategies which may include conversion to alternative formats.
- Scalable –
 - o Initially megabytes or gigabytes of content scaling to terabytes.
 - o Capable of including different content than that initially proposed.
- Capacity to deal with high volumes of traffic
- Provide permissions control –
 - o for depositing content;
 - o for limiting access to certain materials to sub-sets of individuals (e.g. for purposes of RAE);
 - o for review of content by moderator(s) before content is released.
- Assures the security and integrity of content.

RAE

- Works with RAE software.
- Supports the 2008 RAE electronic storage requirements – initially journal articles, or other print media, but to include the flexibility for other formats – art, performance, music, blogs etc.

Resources

- Hardware and software costs combined must fall within the budget available.
- Ongoing operational costs to be within the anticipated budget

- Software and hardware costs are included in the start-up costs and annual charge for the hosted service.
- Any technical support requirements from UEL staff to fall within the existing expertise of Library and Learning Services (LLS).

2.5 Key Milestones and Targets

This section will be refined by the Repository Manager/Team.

Major Scheduled Milestone:

Milestone	Completion Date
Pre-Project	30/9/07
Identify Repository Team (e.g. Director of Library and Learning, Electronic Resources Manager, representatives from Graduate School, 2 Research Leaders)	30/9/07
Draw up job description for the Repository Manager, advertise and recruit	31/10/07
Identify detailed key milestones and targets	31/12/07
Evaluate and select hardware and software and implement	28/02/08
Add selected content, test and refine	30/04/08
Select groups of key RAE publications and begin to add content	31/07/08
Make IR content accessible via web and other routes	31/08/08
To have added 100% of the University's text based RAE submissions	31/12/08
Begin adding non RAE content	31/12/08
Project review and report	28/02/09

Completion Date: March 2009

2.6 Deliverables

By the end of year one -

- 100% of UEL RAE contributors have included publications within the IR.
- The IR provides effective management information, such as the number of hits on University of UEL research papers and the number of downloads over a period and per publication.

By the end of year two -

- 100% of eligible UEL RAE Research outputs are contained within the IR.
- Material in the IR has been accessed regularly by researchers outside of the University, and these figures to show growth as the IR content increases
- For individual researchers, there is increase in number of times that their publications have been cited, once the IR has been established (measured via such tools as Web of Knowledge etc.)
- 50% of taught UEL programmes making use of the VLE, include at least one link to a UEL research publication held within the IR.
- Expertise within the University can be identified via effective links between the IR and UEL Direct
- The IR contains some content from external (partner) stakeholders.

2.7 Risks

The table below gives a risk analysis for the project, and the steps that we will take to minimise those risks

	Risk	Action
1	UEL researchers don't deposit their research outputs in the IR.	<p>Minimised by -</p> <ul style="list-style-type: none"> • Effective advocacy and ensuring full understanding amongst UEL researchers of the benefits. • Support from Graduate School • Barriers to engaging with the IR project to be analysed and addressed. Examples include - <ul style="list-style-type: none"> o Support for those depositing material to be made available, i.e. mediated deposit as well as self archiving. o IR staff to work on establishing a critical mass of material in the early months – identifying appropriate material already in existence. o Guidance and support over copyright and other legal issues to be available from the outset. o Administrative burden to be kept to a minimum (IR should integrate with VLE. It should also, where possible, allow the transfer of existing bibliographic data from elsewhere, e.g. EndNote • Processes for the deposit of material to be established.
2	Material within the IR at UEL is not used by the wider research community.	<p>Minimised by -</p> <ul style="list-style-type: none"> • Extensive promotion and marketing. • High profile link within University web pages. • Good metadata quality to ensure identification by search engines.
3	The IR does not support the RAE effectively	<ul style="list-style-type: none"> • Project and project planning will take full account of the requirements of RAE. For example - <ul style="list-style-type: none"> o We may include within the IR, an archive with restricted access. o We may explore storage for non-print material (film, photos, audio) Any requirements that cannot be accommodated by this project will be articulated so that alternative arrangements can be made.
4	The IR becomes an unfocussed general resource for all types of material	<ul style="list-style-type: none"> • Clear policies will be established dictating the content for the IR. The intention is to start with a limited set of material, but build in a capability to extend the range of material held, if appropriate. • Processes for depositing research outputs will include quality control mechanisms.
5	The IR duplicates material	<ul style="list-style-type: none"> • The IR must become the authoritative resource for

	held elsewhere and we end up with multiple copies and versions of items in different locations.	<p>research output material (storing different versions of material (pre-print, post-print etc., if necessary).</p> <ul style="list-style-type: none"> • The project will allow links from researchers' web pages and elsewhere, to the content of the repository – thus reducing the tendency to create lots of instances of a publication. • Where publishers don't allow copies of post-print material to be stored in an IR – links from the IR to the published resource to be included where possible.
6	Costs increase beyond the scope of the budget -	<ul style="list-style-type: none"> • The project has been scoped and costed with advice from colleagues in other institutions with experience of IRs. • Any additional unforeseen costs will be analysed and flagged as early as possible and adjustments made to the scale or scope of the project as necessary.
7	IR project does not have a successful transition from a funded project, into operational mode.	<ul style="list-style-type: none"> • LLS staffing support has already been identified from year 1 of IR. • All project plans to include consideration of how a support for the IR can become part of the operational work of the University. • All policies regarding content, deposit methods, and administration to be sustainable beyond the reach of the project itself.
8	Project is vulnerable because the Repository Manager is potentially a single point of access.	<ul style="list-style-type: none"> • Close line management of the Repository Manager by Director of Library and Learning (or nominee e.g. Electronic Resource Manager). Monitoring and review of project also undertaken by the UEL Repository Team.

2.8 Sustainability

Advice from early adopters of Institutional Repositories and national experts is that repositories are only sustainable if they are embedded into the policies and procedures of the University, and if its value and benefits are fully understood by the University's academic community. Over the past year, LLS Management Team (including the Director of Service, Electronic Resources Manager) have worked to advocate and promote the benefits of an Institutional Repository to the University's Research community, as shown by the progress achieved to date:-

- Attendance at Institutional Repositories and Research Assessment IRRA Seminar "Repositories and RAE Submission", JISC, London, April 2006
- Attendance at 2 day conference on Institutional Repositories organised by University College London at Dartington College, Devon – Summer 2006). Also attended by Graduate School representative and Business School Research Leader.
- Consultation with internal stakeholders including Graduate School, Academic Research Leaders (e.g. Psychology, Business) – Summer 2006

Travel and expenses	£0	£500	£500
Hosted Repository	£10340	£4524	£14864
Dissemination	£0	£500	£500
Evaluation	£0	£0	£0
Advertising and recruitment costs for Repository Manager	£2000	£0	£2000
Total Directly Incurred Non-Staff (B)	£12340	£5524	£17864
Directly Incurred Total (A+B=C) (C)	£24007	£21857	£45864
Directly Allocated	April 07– March 08	April 08– March 09	TOTAL £
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Estates	£0	£0	£0
Other	£0	£0	£0
Directly Allocated Total (D)	£18600	£18600	£37200
Indirect Costs (E)	£0	£0	£0
Total Project Cost (C+D+E)	£42607	£40457	£83064
Amount Requested from JISC	£13667	£16333	£30000
Institutional Contributions	£28940	£24124	£53064
Percentage Contributions over the life of the project	JISC 36.1 %	Partners 63.9 %	Total 100%

Table Demonstrating Nature of Institutional Contributions

Directly Incurred	April 07–	April 08–	TOTAL £
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Staff	March 08	March 09	
	£0	£0	£0
Directly Incurred Non Staff			
Hardware/Software etc.	£10340	£5524	£14864
Directly Allocated			
Staff, Estates etc.	£18600	£18600	£37200
Indirect Costs			
Indirect Costs	£0	£0	£0
Total Institutional Contributions	£28940	£24124	£53064

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