

Repositories and Preservation Proposal Cover Sheet

Cover Sheet for Proposals (All sections must be completed)		JISC Capital Programme	
Name of Capital Programme: Repositories and Preservation Programme			
Bid for Call Area : (Please tick ONE BOX ONLY, as appropriate)			
Tools and Innovation (Strand B)			
<input type="checkbox"/>	Call Area I – Tools and Innovation Projects	Please specify area of proposed project eg 'metadata generation and validation'	
Discovery to Delivery (Strand C)			
	Call Area II – Discovery to Delivery Projects	<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	
Repository Start-Up and Enhancement (Strand D)			
	Call Area III – Repository Start-Up and Enhancement Projects	<input checked="" type="checkbox"/> a) Repository start-up projects <input type="checkbox"/> b) Repository enhancement projects	
Digital Preservation and Records Management (Strand H)			
	Call Area IV – Digital Preservation and Records Management Projects	<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	
Shared Infrastructure Services (Strand I)			
	Call Area V – Shared Infrastructure Services Projects	<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	
Name of Lead Institution:		King's College London	
Name of Proposed Project:		King's College London Committee Zone Building a repository of committee records for the web	
Name(s) of Project Partner(s): Single institution project			
Full Contact Details for Primary Contact:			
Name:	Jan Booth		
Position:	Records and Archives Manager		
Email:	jan.booth@kcl.ac.uk		
Address:	Archives and Corporate Records Services Information Services and Systems King's College London Room 302, Strand Building Strand London WC2R 2LS	Tel: 020 7848 1186	Fax: 020 7848 2760

Length of Project: 12 months		
Project Start Date:	April 2007	Project End Date: March 2008
Total Funding Requested from JISC: £30000		
Funding Broken Down over Financial Years (April – March):		
Apr06 – Mar07	Apr07 – Mar08	Apr08 – Mar09
	£30000	
Total Institutional Contributions: £58306.65		
Percentage Contributions over the Life of the Project:	JISC 33.97%	PARTNERS 66.03%
<p>The project will create an institutional and publicly available repository of College committee records, hosted on the web. This resource will serve College staff and students as well as external users. It will promote institutional transparency (in line with Freedom of Information requirements), contribute to improved internal communication, support the modernisation of structuring for decision-making and contribute to policy development with regard to Environmental regulations. The project will explore key technical questions (which repository? what format? which metadata?); address practical issues about creating and uploading records and answer essential questions about managing security and confidentiality when publishing potentially sensitive data. It will address preservation concerns by looking to long-term archive storage and access issues.</p> <p>The project addresses a common concern across the sector about how vital but extensive committee records may be effectively managed, stored and maintained and made available. It will build on best practice and make use of current technology and will contribute a case study of high relevance across the HE sector and a range of essential outputs.</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 declaration

Nothing in this proposal need be withheld from disclosure under the Freedom of Information Act 2000.

Strand D call area III – repository start-up

1. Introduction and broad purpose

- 1.1 Committee records are a vital source of information across higher education. At King's College London committees such as Council, Academic Board and their sub-committees provide strategic development, operational effectiveness, audit, policy development and governance. Within schools, departments and administrative teams, committees develop local strategies and oversee operational planning for research, teaching and the delivery of services. All of these groups are essential forums for debate and decision-making. Their activities cover the full range of the College's work and their agendas, minutes and papers are a crucial record of how the College manages its academic and business interests.
- 1.2 King's College's numerous committees, like most HEIs, create a large number of records. Records of different committees are administered in different ways and record-keeping practices can be inconsistent. Committee materials raise a number of concerns in both the current and the archival phases of their lifecycle.
- **Current phase**
Agendas, minutes and papers have a wide circulation. Copies, in both paper and electronic form, proliferate across College. The sheer volume inhibits effective cross-College communication and raises concerns about storage and authoritative copies.

Committee papers are also a key source of information for Freedom of Information (Fol) although they often prove difficult to find and search. Searches for particular topics or themes across paper files are typically difficult, especially since minutes are now rarely indexed.
 - **Archival phase**
Many committee minutes are the key evidential records of decision-making and as such many are of legal and historical significance. At King's, as elsewhere, the archive set is currently retained in paper form. Paper may be difficult to search and is increasingly expensive to store, especially in archive-standard conditions in central London.
- 1.3 With these concerns in view, the project will establish an institutional online repository for committee records. This will:
- Promote organisational transparency.
 - Contribute to the ready availability of key management data. In this way it will help strengthen executive decision-making and will reduce the need for College officers and others to keep their own duplicate sets of committee records.
 - Support institutional Fol compliance.
 - Reduce redundancy in record keeping and in printing out.
 - Allow for the systematic maintenance and storage of a permanent committee archive. This archive will be a key part of the College's historical record.
- 1.4 The project will promote the themes of administrative efficiency, organisational transparency, best use of technology and environmental policies especially with regard to the use of paper. The project's outputs will have a direct value across the HE sector.
- 1.5 The project is set in both a local and a sectoral context. Locally the project will complement the College's ongoing agenda to focus and sharpen decision-making, and improve communication management.

In sectoral terms the project will provide a case study which will support goals of institutional transparency and Fol compliance. These are important drivers within HE.

At the same time the project aims to harness the web, as a tool for publishing corporate information in a useful and useable way.

2. Aims and outcomes

The project will serve as a case study for the HE sector. Key achievements will include:

- A fully tested methodology for publishing committee records, transferable throughout the sector.
- A report on key themes including platforms, formats, metadata and search tools.
- A case study on preservation options along with a specification of needs.
- An approach for handling sensitive data.
- A searchable online archive of core committee records.
- An analysis of the decision paths between committees.

The project will directly support King's College's ongoing reform of the College committee structure and of communications more generally. It will promote the progressive use of communications technologies and support a developing agenda with regard to business integration.

3. Duration

The project will last for one year. Preparatory and reporting phases will run for six months, the project itself will run for another six.

4. Key questions that will be addressed

In establishing a repository to manage and make available committee records the project will address a number of questions which are both specific to the project and of broad relevance to the sector. These include:

Technical

4.1 What software?

The project will make use of Brandworkz digital asset management (DAM) software to store and publish the records. It will also investigate the use of FEDORA as an alternative. FEDORA is currently being used by AHDS (Arts and Humanities Data Service) to develop a repository of academic outputs for King's in preparation for the next RAE.

4.2 What format?

The project will consider which format committee records are best saved and stored in. It will explore the implications of using proprietary formats (such as *MS Word*), de facto standards (*pdf*) and open standards (including *odf*). Work here will draw on guidance from the National Archives (TNA), the Digital Curation Centre (DCC) and the British Library.

Professional

4.3 What metadata?

There are a number of model metadata schemes across the library, archive and information management sector. Schemes that are directly applicable to administrative records are not, however, common. The project will look in particular at the work of the seminal VERS project (Victorian Electronic Record Strategy) within the framework of the NAA (National Archives of Australia) metadata standard. It will also consider the latest version of the Dublin Core based e-Government Metadata Standard (e-GMS). Any metadata set generated by the project will be cross-walked to EAD for archive portability.

The project will also explore subject thesauri as a source for indexing keywords. Investigations will take in the UNESCO thesaurus, UKAT and the Integrated Public Sector Vocabulary (IPSV) amongst others, reworking them for an HE committee environment.

Practical

4.4 How will uploading and indexing work?

The project will develop procedures for uploading and indexing and test these extensively with users. The project will work in conjunction with committee administrators to develop an intuitive indexing interface.

Information management

4.5 How will the Committee Zone support better institutional information management?

The project will feed into ongoing work at King's on rationalising the committee structure and committee administrative processes. It will address three areas in particular:

1. Supporting committee records throughout their lifecycle. The role of the repository will be mapped to workflows for creating, distributing and publishing committee records. The project will define and then help to streamline these processes.
2. Reducing paper dependency. The project will explore options for reducing the use of paper copies both at meetings (promoting the use of electronic copies on laptops, PDAs etc) and for later storage.
3. Securing vital data. The project will specify a requirement for ensuring the security and integrity of records within the repository.

Compliance and security

4.6 Legal issues?

Publication of committee records shows a strong commitment to corporate transparency. Since FoI came fully into force last year increasing levels of disclosure are being mandated for the public sector. The Environmental Information Regulations increase the requirement for public disclosure still further. The project will explore options for linking online committee records directly to the College's FoI publication scheme.

The project will also map the committee archive to King's corporate retention schedule. This will ensure that creation, circulation and publication are properly managed processes. The project will take full account of JISC's current thinking on updating records retention guidance for the sector.

4.7 How is restricted material managed?

Some committee records raise issues of commercial and personal confidentiality. Confidential material can be complex – it might be embedded within records that are otherwise disclosable, it might only need to be restricted for a limited time or it might require long-term closure. The project will explore ways of identifying and securing sensitive data and addressing when data should be flagged as being sensitive; how choices on the extent and implications of sensitivity are made; how long should FoI publication be delayed and who has access to sensitive material while it is closed.

Use

4.8 How are the records searched and used within the College and outside?

The project will explore diverse ways of searching and using committee records. It will work with various users (both internal and external) and develop an interface and search tools that suit their information needs. Metadata searches may serve some users whilst others may prefer *Google*-style full text searches. Data mining technologies will be explored in collaboration with AHDS.

Websites that host similar material will be evaluated and compared including the committee pages of the UK Parliament site, the London Assembly's web pages and the sites of other public authorities with a statutory duty to publish committee records. Particular attention will be paid to the way that search results are displayed and whether they can be saved, reordered and filtered.

Preservation

4.9 What about preservation?

Committee records are a core historical source and need to be retained indefinitely. As well as a searchable online version the project will specify and create an archive copy of every record. The project will explore the option of housing these archive versions on a secure 'dark' server. The project will draw directly on the work and documentation of the JISC-funded PARDIGM project providing a practical test for their methodology.

4.10 Who will host the archive copy?

The project will specify the requirement for hosting and maintaining the 'dark' archive. It will explore the costs and feasibility of maintaining the archive both in-house and externally, under contract. The specification will be built around best practice and in particular the standards set out in the Digital Preservation Coalition's (DPC) handbook.

The project will also look for support and advice to the National Repository Support Project (SHERPA at the University of Nottingham) to ensure that best practice is followed and the application of standards is consistent.

5. Detailed description

5.1 Existing resources

The project will use the Brandworkz digital asset management (DAM) system to establish the repository and develop the management methodology. This system has already been licensed by the College and was chosen after detailed evaluation of a number of off-the-shelf products. System requirements were set out in advance and included:

- A robust reliable database.
- Support for diverse file types.
- Flexibility in relation to specifying and organising metadata elements.
- Image editing features.
- Good image viewing features.
- Excellent search functionality.
- Support for workflows and audit trails.
- Access security features.
- A modular structure so new components can be added easily.
- A web front-end.

The supplier was required to show a commitment to their product, a track record of successful installations and a programme of training and support. The software had the added strength of appealing to a range of College users. It served the needs of External Relations as well as Special Collections and the Archives and Corporate Records Team. This means that expertise can be shared and joined-up working encouraged.

The project will also evaluate FEDORA, which is being developed by AHDS (the Arts and Humanities Data Service) as a repository for academic output, as an alternative solution for committee records. The project will develop an exit strategy from Brandworkz to FEDORA should FEDORA prove capable of a more sophisticated and flexible approach to repository management.

5.2 Management structure

Project Board	<p>The board will be chaired by a senior College officer and will include representation from academic schools, the College secretariat, Information Services and Systems, Management Information Systems and AHDS.</p> <p>The board will build on the work of the exiting Digital Assets Management Working Group established as part of the college's JISC funded project <i>Managing risk: a model business preservation strategy for corporate digital assets</i>.</p>
Project Director	<p>The Acting Director of ISS will monitor the project and its outputs and ensure that it retains a high profile within College and beyond.</p>
Project Manager	<p>The Records and Archives Services Manager will retain control over the day-to-day progress of the project and will ensure that targets and deadlines are met.</p>
Project Researcher	<p>The Researcher will be primarily responsible for delivering project tasks as set out in the plan below.</p>

5.3 Project work packages

5.3.1 Preparation

Time: three months

Personnel: project manager, project researcher and College support

Tasks:

1. Consult across College. Discuss and develop the project programme with senior administrators to ensure that it feeds into institutional strategies.
2. Advertise and recruit project researcher (a secondment from within the College is anticipated).
3. Induct project researcher.
4. Training in relevant software.
5. Set out detailed project plan.
6. Set up project web page.

5.3.2 Processes

Time: three months

Personnel: core project team plus input from King's administrative staff and the project review network.

Web design contractors.

Tasks:

1. Promote and advertise the project across College.
2. Detailed work with Committees. (To include College Council, Academic Board and school and departmental level groups).
3. Set up a project review network. This is envisaged as a group of internal users and external experts willing to receive updates on the project (via email and a blog) and to feed back their ideas.
4. Investigate format options. Consider alternatives and select a preference.
5. Establish metadata requirements. Explore standards and best practice. Draft metadata set.
6. Explore software. Design and build upload and indexing interface.
7. Determine legal and security issues around upload and publication. Develop appropriate protocols.
8. Develop upload procedures.
9. Test with users.
10. Review and refine.

5.3.3 Publication

Time: two months

Personnel: Core project team, web design contractor plus input from the project review network.

Tasks:

1. Test search and use facilities.
2. Develop web interface.
3. Explore links with web-based Fol publication scheme and disposition schedule.
4. Test and refine.
5. Publish the final website.
6. Consider an alternative platform (FEDORA).

5.3.4 Preservation

Time: one month

Personnel: core project team, internal IT staff, external suppliers plus input from the project review network.

Tasks:

1. Specify and cost a 'dark' server option.
2. Fully investigate option of running in-house.
3. Look at external provision too with ULCC, AHDS and others as required.
4. Develop a final specification for the service.
5. Consider the procedures required to integrate 'dark' server deposit and web publication into a single process.

5.3.5 Reporting

Time: up to three months

Personnel: project manager with input from the project researcher and project review network.

Tasks:

1. Deliver final report.
2. Publish all project outputs.
3. Arrange and host a final dissemination event.

5.4 Timetable

Phase	Tasks	Timing	Staff
Preparation	Consult Advertise Recruit Induct and train Plan Publish project web page	April – June 2007	Project manager throughout Project researcher from August
Processes	Promotion Network Develop project web page Format Metadata Interface Issues and protocols Procedures Test/ review cycle	July – September 2007	Project manager and project researcher throughout
Publication	Test Development Test/ review cycle Publication Consider other options	October – November 2007	Project manager and project researcher throughout

Preservation	Discussion and specification Procedures	December 2007	Project manager and project researcher throughout
Reporting	Reports and deliverables Dissemination	January – March 2008	Project manager throughout and project researcher for one month

6. Deliverables

A live set of committee records.	To be published freely on the web. Useable by the College and useful for other institutions as a case study.
An analysis of committee administrative procedures and practices set within the wider context of the College's business processes and information strategy.	A detailed workflow with observations and recommendations. Of direct value to the College and valuable to other HEI's as a case study.
Advanced work on identifying issues in relation to data formats, description and data search/ retrieval functions.	Practical work based on best practice and real testing. Integrated into a final report (below) for dissemination and circulation across HE.
Procedures and protocols for uploading and publishing records.	'How to' guides drafted with extensive user input. These will operate as policy within College and serve as useful models outside.
Risk assessment of legal and security risks with accompanying protocols.	A full risk assessment with practical solutions.
Recommendation for integrating database of committee records with institutional publication scheme and corporate disposition schedule.	An exploration of technical and practical challenges with a worked solution. For broad use across HE as a model approach.
A worked example specifying a preservation requirement.	A checklist based on best practice.
Review of in-house and external options.	An evaluation of options and implications. To form the basis of College strategy and to inform the wider sector about the alternatives.
Dissemination event.	To promote and circulate our findings to HE's administrative, managerial, records and IT communities and beyond.
Interim reports and completion report.	To update JISC on progress and milestones.
Final report.	To consolidate the project's findings and to promote and share them.

7. Risks

Risk	Actions
Failure to recruit project researcher.	Advertise widely, offer as a secondment.
Losing project manager or project researcher during the project.	Extend deadline, replace at no extra cost to the project.
Failure of College to engage with the project.	Get support early, communicate widely, establish effective support network.
Failure of chosen platform.	Use an established product with strong track record.
Failure to reach a wider audience.	Use the web extensively, issue regular reports and updates, host dissemination event.

8. Contribution of the project

- 8.1 Contribution to the HE sector
Committee records are vital to daily operations, communication and decision-making across HE. Publication of administrative records contributes to institutional transparency and supports FoI compliance. In addition many administrative records

have significant archival value. The project addresses a common sectoral problem – how can technology be harnessed to share and publish committee records in a way that serves the institution, promotes good records management, maintains legal compliance and supports preservation? The project will address this problem directly. It will generate a broadly relevant case study supported by documentation.

8.2 Contribution to programme aims

The project addresses the aims set out for this funding area by creating a repository that is entirely embedded 'within institutional working practices'. As such it will help to bring together a number of themes promoted by JISC including effective legal compliance and records and information management.

8.3 Contribution to King's

The project will support organisational transparency and best use of technology. It will feed directly into the College's strategies for administrative efficiency, improved corporate communication, information management and support developing environmental policies. The repository will also be entirely sustainable, continuing to grow and develop after the project.

9. Sustainability

The project will meet a prioritised need within College, will be developed by an established team with a strong track record of work on records and information management, will reflect best practice and will be embedded within a developing broader and College strategy aimed at the effective integration of corporate information. This includes the life cycle management in support of the College academic and administrative agendas.

10. Evaluation and dissemination

Evaluation will be ongoing throughout the project and will include:

- Structured input from the project board.
- Active contributions for project participants.
- Ongoing attention from the project review network (key users).
- Feedback from JISC in response to periodic reports.
- Feedback from events linked to the programme.
- Feedback in response to project outputs (including presentations and events) from the wider HE community.

Dissemination will be via:

- Active participation in programme events.
- Project presentations.
- One major hosted event.
- A website, blog and email updates.
- Periodic progress reports.
- A final report published along with supporting documentation.

11. Budget

11.1 Summary

Totals are as follows:

Project cost: **£88306.65**

Institutional contribution: **£58306.65**

JISC contribution: **£30000.00**

11.2 Breakdown

Directly Incurred Staff	
Project researcher Academic related Grade ½ point 7 Full time for 8 months FEC 12 month cost = £33305.34	£22203.56
Total Directly Incurred Staff (A)	£22203.56
Non-Staff	
Travel and expenses	£1000
Hardware/software (Including PC, printer and scanner)	£2000
Dissemination (Hosting one major dissemination event)	£1500
Recruitment	£1000
Web design work (Fee sourced from Brandworkz, software suppliers)	£5500
Server purchase	£5000
Server hosting and support for one year	£3000
Stationery, consumables, telephone, books and journals	£750
Total Directly Incurred Non-Staff (B)	£19750
Directly Incurred Total (A+B=C) ©	£41953.56
Directly Allocated	
Project manager Academic related Grade 4 point 18 45 days over 12 months FEC day rate = £236.35	£10635.75
Direct input by College IT staff allowed at 6 days for the project Academic related Grade 3 Point 14 FEC day rate = £200.89	£1205.34
Estates costs for 8 months (charged on the project researcher)	£4397
Directly Allocated Total (D)	£16238.09
Indirect Costs	
Institutional support for 8 months (charged on the project researcher)	£30115
Indirect Costs Total (E)	£30115

Total Project Cost (C+D+E)	£88306.65
Amount Requested from JISC	£30000
Institutional Contributions	£58306.65
Percentage Contributions over the life of the project	Total 100%

12. Key personnel

KCL project director: Patricia Methven

Patricia Methven is Deputy Director of Information Services and Systems at King's College London and Director of Archives and Information Management. This brief includes Archives and Records Management, Legal Compliance, Bibliographic Services and E Resources. Patricia is also Director of the ninety partner AIM25 archival description project in London and co-authored the JISC Freedom of Information Model Action Plan. As chair of the JISC Archives Subcommittee she commissioned the drafting of the first HE Records Retention Schedule and subsequently produced the first published adaptation. King's was also a pilot site for the JISC Freedom of Information Model Publication Scheme. Patricia has led two successful JISC funded projects at King's - *What is a Student Record?* in 2003 and *Managing Risk: a model business preservation strategy for corporate digital assets*, which completed in 2006.

Project manager: Jan Booth

Jan Booth is Archives and Records Manager at King's College London with responsibility for both the historical and the current records of the College. He has been an archives professional for over ten years. He has experience across a range of sectors having worked as Archivist at the Brewers' Society, Records Manager at Reading Borough Council and Records and Compliance Manager at the University of Westminster. Jan managed the second half of King's JISC funded *Managing Risk: a model business preservation strategy for corporate digital assets* project, writing the final report and hosting the successful dissemination conference.

Project researcher: to advertise

Web designer: to appoint

**Office of the Head
of Administration &
College Secretary**

**Head of Administration
& College Secretary**
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University of London

To Whom It May Concern

I write to confirm, on behalf of King's College London, our full support for the proposal submitted by the Archives and Corporate Records Services, Information Services and Systems entitled 'King's College London Committee Zone', submitted under the JISC Circular 04/06: Repositories and Preservation Programme (Strand D, Call Area III (a): Repository start-up projects).

This project is a significant initiative in digital preservation and we recognise its importance to the HE community.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ian Creagh'.

Ian Creagh
Head of Administration and College Secretary



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To Whom It May Concern

I write to confirm my full support for the proposal titled "King's College London Committee Zone", submitted by King's College London under the Repository Start-up and Enhancement strand of the Repository and Preservation Call.

This proposal has my full support and I can confirm that the Arts and Humanities Data Service would work with the project partners as outlined in the bid to support their work, should the project be funded.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'Sheila Anderson', followed by a horizontal line.

Sheila Anderson,
Director,
Arts and Humanities Data Service
Arts and Humanities e-Science Support Centre
King's College London