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| 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 <i>'metadata generation and validation'</i> |
| 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 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 checked="" 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: Loughborough University | | |
| Name of Proposed Project: Pilot implementation of licence registry | | |
| Name(s) of Project Partner(s): Rightscom Ltd; EDItEUR; Naomi Korn; Oxford University Press; Open University. | | |
| Full Contact Details for Primary Contact: | | |
| Name: Professor Charles Oppenheim Position: Head of Department of Information Science Email: c.oppenheim@lboro.ac.uk Address: Department of Information Science Loughborough University Leicestershire LE11 3TU Tel: 01509 223065 Fax: 01509 223053 | | |

| | | |
|--|----------------------|--|
| Length of Project: | 24 months | |
| Project Start Date: | 15 March 2007 | Project End Date: 14 March 2009 |
| Total Funding Requested from JISC: £197,386 | | |
| Funding Broken Down over Financial Years (April – March): | | |
| | Apr06 – Mar07 | Apr07 – Mar08 |
| | £5,527 | £111,918 |
| | | Apr08 – Mar09 |
| | | £79,941 |
| Total Institutional Contributions: £210,353 | | |
| Percentage Contributions over the Life of the Project: | JISC 94% | PARTNERS 6% |
| Outline Project Description | | |
| <p>We propose to establish the user requirements for a Licence Registry able to integrate effectively with the JISC Information Environment and then to design, build, deploy and test a pilot based on the requirements. The Registry will enable key elements of licences to be made available so that a user can be provided with licence information at the point of use without additional human intervention. A licence registry is an essential element in the technical architecture necessary to support such functionality. The Registry proposed will enable those significant licence terms to be made machine interpretable.</p> <p>The project team plan to use ONIX for Licensing Terms as the standard to licence term information, and to build the pilot using Open Source software wherever possible: this will provide the best path for turning the resulting pilot into an operational service.</p> <p>The partners in the project are led by a team from Loughborough University. Loughborough and Rightscom will undertake an extensive User Requirements survey, after which Rightscom Ltd will build the pilot itself, with EDItEUR, the developer of ONIX-LT, providing its expertise to develop further versions of ONIX-LT to allow for new types of licences. Two large rightsholders, Oxford University Press and the Open University, will provide test data and advise on User Requirements.</p> <p>Specialist licensing expertise will be provided by Naomi Korn, an expert in this field.</p> <p>The needs of the JISC Information Environment will be a major factor in the specification and design of the pilot.</p> | | |
| I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box) | YES X | NO |
| I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box) | YES X | NO |

FOI Tick-list

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 |
|-------------------------|--|---|
| 6 | s.43 Commercial Interests | Contains detailed description of our proposed system design which would damage our commercial interests if disclosed by making this information available to competitors. |
| 8 | s.43 Commercial Interests | The budget, the rates charged and the breakdown of the funds between the various partners. |

Proposal to develop a Pilot Licence Registry

1 Introduction

Loughborough University, together with its partners Rightscom, EDItEUR, Naomi Korn, Oxford University Press and the Open University, submit this tender for the development of a Licence registry that will be able to form an effective resource in the JISC Information Environment.

1.1 The purpose of establishing a Licence Registry

Within the academic community, there is a desire on the part of users of resources¹ (and of the institutions within which those users work or study) to be compliant with terms established by rightsholders. As the medium for the distribution of resources moves increasingly from physical copies to the network, the need for users to know what permissions attach to the access and use of any particular resource becomes increasingly pressing due to considerable differentiation between licence terms. This is amplified by the increasing diversity of resource providers: organisations and individuals are developing resources that were once the preserve of commercial enterprises, with different objectives and constraints when it comes to making them available. Some resources are available under the terms of a Creative Commons licence; others under stricter commercial terms. It is difficult or impossible for users to discover for themselves the terms that apply to a particular resource.

With licences typically available only on paper (or its digital equivalent), reference to licence terms is labour intensive and slow. Different resource repertoires will have different licence terms for the foreseeable future, and technical support will be needed to facilitate compliance with licence terms without resorting to a “lowest common denominator” approach, i.e., assuming that all licences are as restrictive as the most restrictive licence. A “repertoire” is defined here as the group of resources which is covered by a particular licence.

The solution lies in the establishment of mechanisms by which key elements of licences can be made available so that a user can be provided with the most significant elements of licence information at the point of use – those that relate to permitted access and use. This needs to happen without additional human intervention; those significant licence terms must be machine interpretable. A licence registry (or many licence registries, in a more distributed model) is an essential element in the technical architecture necessary to support such functionality.

1.2 Associating resources with licences

The challenge of associating individual resource instances with the specific licences goes substantially beyond that of simply establishing “a licence registry”. It raises considerable issues of resource identity and the management of repertoires. A repertoire may be closed and tightly defined. For example, a resource which is released under a particular Creative Commons licence can be linked directly to that licence and, because the licence itself is irrevocable, the management of the link is permanent and straightforward. However, few licences work in that way. Commonly, repertoires are open and loosely defined. Commercial licences are usually time-limited and refer to resources which do not yet exist – for example, all the papers which *will be published* in a named journal in a particular year. Individual resources may be removed from repertoires; complete sets of resources may be transferred from one repertoire to another (for example, a new licence may supersede an older one; or rightsholders may change); and resources may cease to be licensed. Most commercial licences do not, of course, cover all *users*; the same resource will belong to many different repertoires, dependent on user context and/or identity. More complex cases also exist, where (because of overlapping licences) the same resource may exist in more than one repertoire for the same user. It is therefore unrealistic to consider implementing a Licence Registry in isolation from careful consideration of repertoire management, the essential (and perhaps more testing) complement to licence management.

1.3 An abstract model for the implementation of a Licence Registry

The diagrams below provide an abstract model of the processes and functionality required of a Licence Registry. Figure 1 illustrates the processes by which digital resources are associated with a particular licence through repertoire management. Figure 2 shows the basic functionality of a licence registry.

1.4 Creating machine-interpretable licence terms

To develop a way of expressing permissions for access and use for interpretation by machines would be a daunting proposition for the project. Fortunately this is not necessary, because of substantial work that has been

¹ We use the term “resource” in preference to terms such as “content”.

undertaken by [EDItEUR](#) in the development of *ONIX for Licensing Terms (O-LT)*. JISC has already contributed substantially to the development of Onix-LT, particularly through two projects under the PALS2 call.

ONIX-LT is a messaging format for the *communication* of licences; what will be required in this project is a database for the *storage* of licences. A Licence Registry informed by the same concepts and abstractions as ONIX-LT will integrate more easily into an overall framework for licence management. For example, there is currently a proposal to develop an application for the creation of ONIX-LT licence expressions: this should avoid the need either to create such a tool or to create the individual licence expressions manually. It is also worth noting that the [ACAP](#) project, currently under development by the World Association of Newspapers and other publisher trade organisations, has also expressed an intention of adopting the same approach to developing a standard for machine-readable permissions for online publications.

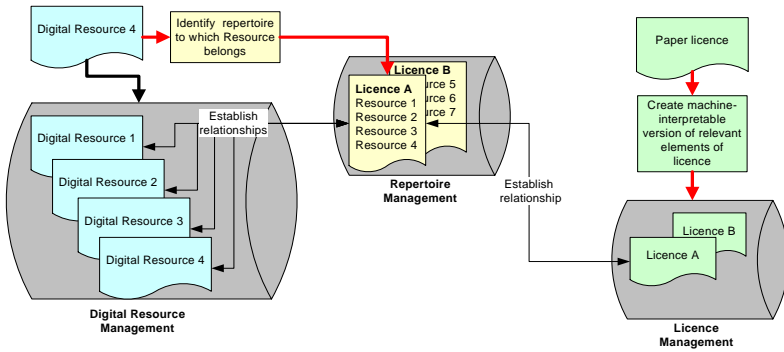


Figure 1: Establishing the relationships between licences and resource. Depending on the approach that is taken, repertoire and licence management may be distributed to the level of the individual licensing organisation; or may be managed more centrally. The issues of user and/or user class identity become more of an issue in a centrally managed approach. Note that this diagram is not intended to suggest any particular technical architecture.

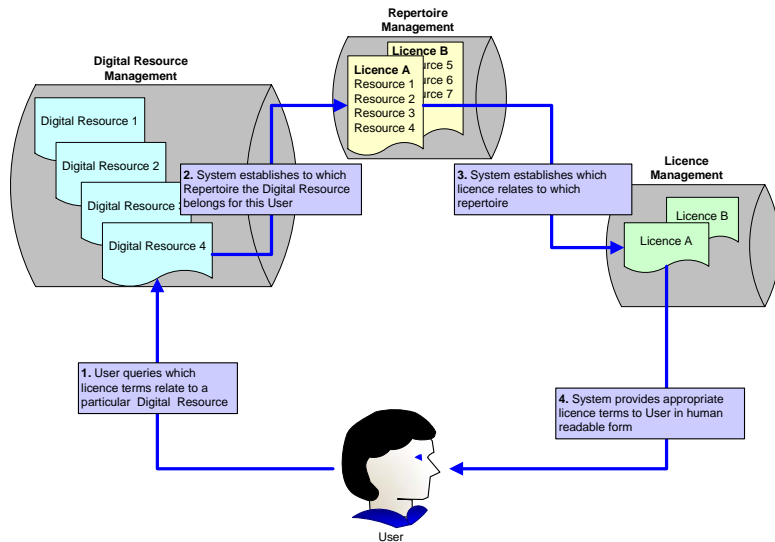


Figure 2 The basic functionality required to test a Licence Registry; note that the complete licence could be made available to the User if this desirable [perhaps on a “click here to see the complete licence” basis].

1.5 Pilot scope assumptions

The following assumptions have been made with respect to the scope of the pilot; these will be adjusted (with JISC’s approval) in the light of the results of the requirements exercise, within the overall constraints of project resource.

Licence ingest format and display format: The licence ingest format will be ONIX-LT. This does not have the semantics to express all licences. Terms from other sources – Creative Commons, Creative Archive etc – will require mapping into ONIX-LT for inclusion. Thus essential licences not currently expressed in ONIX-LT will be expressed in ONIX-LT as part of the project; this is EDItEUR’s role, alongside work on an exemplary set of symbols and icons for the display of licence terms to end users.

Licence and resource types: A limited range of licence and resource types will be used as exemplars within the pilot, covering all the significant types of resource and a range of commercial and non-commercial licences; repertoires will be created which are exemplary rather than exhaustive.

Licence registry instantiations: The most appropriate architecture for the disposition of licence registries [centralised/federated; held by licensors/licensees/third parties] is not currently clear. This project will explore the advantages and disadvantages of different configurations, taking into account the needs of the JISC Information Environment; however, for the pilot project itself, we anticipate only a single instantiation of a licence registry.

Licence conflict and licence conflict resolution: There are Use Cases where the same resource may be covered by two different licences with different terms for the same User. It will be necessary to explore the

significance of this problem as part of the requirements exercise; the implementation of a solution within the pilot will depend on this problem being found to be a significant issue within the community.

Licence term enforcement: This project has licence term *communication* as its objective, and will not explore licence term *enforcement*.

User and user class identity and authentication: Membership of a particular class (group) will often confer different rights on different users. User identity, and particularly the identification of a user as belonging to a specific class, is therefore a crucial element in licence administration. However, a licence registry pilot project is not a testbed for user identity management. In the requirements and design phase of the project, we will explore the extent to which it is necessary and possible to collaborate with existing projects on identity being undertaken for JISC, specifically in Shibboleth implementation. However, if a straightforward integration of the work is not possible within the time and resources available, the pilot may need to depend on less sophisticated models of user identity management, while retaining hooks for future integration with Shibboleth and other elements of the JISC IE.

1.6 Stakeholder Benefits Analysis

| Stakeholder | Interest / stake | Importance to stakeholder |
|--|--|---------------------------|
| Rightsholder | The Registry will improve clarity of understanding of users in what they may or may not do with particular content. It would reduce requirement for staff to answer questions and assist compliance. The Registry will also help rightsholders provide better user service. | High |
| Librarians | Librarians are already having to deal with a wide range of digital content, and many different licence and sets of licence terms. This complexity will grow. The Registry will provide a information resource to support compliance and reduce the need for human intervention in enquiries. Also terms of different licences can be compared. | High |
| JISC Information Environment | The Registry needs to be able to play an effective role in the overall functionality of the JISC Information Environment. | Medium |
| End-users | Academics, teachers, students will be better able to understand accurately what they can do with content they have discovered. | Medium |
| JISC Content Company and other Content aggregators | Aggregators may have very different content types and rules governing with their use. The Registry will make it easier to manage and easier to obtain compliance. | Medium/High |
| Subscription agents | The key benefits for information aggregators are simplicity and clarity. This will reduce requirement for staff to answer questions and assist compliance. | High |
| Information & library systems suppliers | Systems suppliers will be able to offer richer services through connecting ERMs and other library management systems to the Licence Registry. | Medium |

2 Methodology

The work of the proposed project will be undertaken within four connected workpackages. It is proposed that work will be done by more than one partner in each workpackage, although each WP has a clearly-identified leader.

2.1 Workpackage 1: User requirements analysis[

Leader: Loughborough University Total effort all partners: 57 days

The key user stakeholder groups whose requirements will need to be taken into account in the pilot will be rightsholders (including publishers and creators), subscription agents, aggregators, librarians and learning resource managers and end-users (academic researchers at all levels, lecturers/teachers and students). The objective of the requirements analysis will be to understand and integrate the needs of the different communities that the Licence Registry will benefit.

The User Requirements analysis will be carried out by:

- Identifying any further stakeholder groups

- Identifying and carrying out telephone interviews with a range of users in each stakeholder group. We have found mail/email questionnaires to be inadequate; instead, we will combine a small number of focus groups with the telephone interviews to obtain expert views. We will use a standardised set of presentational materials and questionnaires to ensure consistency of feedback prepared through background literature research and validated by the project team.
- Carrying out desk research to further scope the requirements, including a review of the requirements of the JISC Information Environment
- Developing a draft set of needs based on the interviews
- Running two focus groups (10-15 people each) to validate the requirements. One group will be held in London and one in Scotland or Northern England. Each of the two groups will also focus on strategic stakeholders.
- Develop a requirements document based on the output from these steps. This will include the set of Use Cases that will guide the development of the Licence Registry pilot.

2.2 Workpackage 2: Development

Leader: Rightscom Ltd Total effort all partners: 95 days

Once a requirements analysis is complete, we will conduct desk-based research to establish which open-source components are viable, and validate them against a criteria matrix developed as an output of the technical requirements analysis.

In order to achieve the maximum functional scope for the Pilot Registry within the time frame and budget available for development, it is proposed to adopt the approach of using proven Open Source components where possible, rather than embark on ground-up development. Experience suggests that this is likely to be the more cost-effective approach. The technical development will focus on integration of the components and the development of custom-coded components only where absolutely necessary.

In order to manage risk and ensure best use of development resources, we will adopt current best practice in iterative and agile development.

It can be assumed that the following broad areas need to be covered in an abstract functional architecture:

- Licence Ingest and required support tools
- Resource and Repertoire Metadata Repository and associated management tools
- Metadata Model Schema
- Licence Repository and associated management tools
- Licence Model Schema
- XML functionality for ONIX-LT parsing
- Search and browse
- Mediation Service for dynamic linkage between licence terms and resources
- Registry Audit
- User Identity database
- Web artefacts Repository

We therefore start from the basic assumption that the majority of the pilot registry's underlying functionality will be constructed using the Fedora digital object repository. Fedora is an extensible framework repository technology which includes a rich set of native functionality. Fedora uses the RDF standard which will facilitate interoperability of metadata. It has enjoyed significant support within the institutional repository and digital library communities.

2.2.1 DEVELOPMENT THAT WILL INFORM THE COMMUNITY ON THE PROGRESS AND FINDINGS OF THE PROJECT AND ENCOURAGE ONGOING FEEDBACK SUBPHASES

The initial step will be to prototype a simple "front-end" presentation layer to the ONIX-LT XML. In this phase of work, we expect to be able to build on the project which JISC has commissioned from BIC for the creation of ONIX-LT licence expressions; this project is due to be delivered before work on the Licence Registry project begins.

The second stage will be scoped on the basis of what we learn from this first step. The intention will be to use the RDF capabilities of Fedora to represent relevant data and terms parsed from the ONIX-LT XML records.

2.3 Workpackage 3: Deployment, testing and refinement

Leader: Rightscom Ltd Total effort all partners: 75 days

Licence and other data will be loaded into the registry after checking and cleaning. The project team will carry out extensive pre-launch testing.

The pilot will be deployed on an externally-located server offering high performance and reliability well able to deal with anticipated usage. It will be made available to the entire JISC community for a period of at least six months. During that time, users will be asked to provide feedback to the project team through a variety of online feedback forms and questionnaires.

Rightscom will provide support to users and partners during the test phase through a dedicated email support address and a password-protected extranet containing documentation and other help information, as well as support tools such as Rightscom's issue logging and tracking system.

Members of the project team from Rightscom, Loughborough University and EDItEUR will also devise and carry out their own tests during the period to ensure that all aspects of the system are robust and continuing to meet user needs. In addition to carrying out standard functional and non-functional testing procedures, testing will consider both the integrity of the data as well as the usability of the user interface.

Revised versioned releases of the pilot may be made available from time to time during the test phase so that any significant problems can be corrected or new facilities identified by users introduced in a controlled manner. Versioning will be integrated with the issue tracking system.

2.4 Workpackage 4: Project management and reporting

Leader: Loughborough University Total effort all partners: 30 days (including kick-off meeting)

Loughborough University provide the Project Manager, who will oversee the project as a whole, coordinating the work of the other partners' workpackages. It will ensure that the project remains true to its specified objectives and scope, and that deadlines and targets are met. The Project Manager will also act as the main contact between the project and the JISC.

Each partner will also manage their own effort, resources and deliverables. Rightscom Ltd has allocated a number of additional days to for project management as it bears the main responsibility for the technical implementation of the project.

To aid communication, Rightscom will set up an extranet available to the partners only for collaborative working.

A public-facing website to make documents available and to provide a forms interface to gathering feedback on the pilot will be set up and managed by Loughborough University.

2.5 Deliverables

There will be three main deliverables:

2.5.1 THE PILOT SERVICE ITSELF

This will be a fully-working service using test data from Oxford University Press and from the Open University. It will be accessible via a login requiring username and password authentication credentials, although the pilot will consider the feasibility of the integrating Shibboleth and/or Athens for this purpose. The system will be completed in such a way that it will be possible to move it from the project test stage environment to a fully-stable release environment based on project sign-off on the criteria for final release. We propose that the release environment be packaged in the most cost-effective way, so that the system may be run at any time with a minimal installation of system software, over a broader range of host operating environments.

2.5.2 INTERIM REPORTS

The project team will deliver one or more interim reports detailing progress and any barriers or risks encountered. The exact schedule for these reports will be agreed as part of the overall Project Plan.

2.5.3 FINAL REPORT

The final report will describe the overall achievements of the project and document the system in detail so that more data can easily be added and further development can be undertaken.

2.5.4 SUSTAINABILITY AND EXIT

The documentary outputs from the project will, as indicated above, be made available through the JISC website and a project extranet for ongoing reference. This will address the sustainability of the workshop reports and the final report capturing the experience and learning of the project.

As indicated above, the Licence Registry pilot will be delivered to the JISC in a manner that allows it to be used as required beyond the project's lifetime.

The project is structured so as to provide a clean exit with sustainability for each of the project outputs planned as described above. Where additional work is identified that will be of value to extend or follow on from the current project, discussions with the JISC will take place to scope and define how this should be taken forward.

3 Skills and experience

The project will be led by the Department of Information Science, Loughborough University. Its primary partner will be Rightscom Ltd. Rightscom has strong specialist metadata and technical delivery skills, extensive R&D and prior experience on the JISC-TIME project, using a particular set of technologies for a similar purpose.

Both partners have good working knowledge of the requirements of the JISC Information Environment.

Fedora has been identified as a standards-based and highly extensible Open Source candidate system which has the potential to provide the basis on which the key functionality of the pilot service can be constructed in a robust and cost-effective manner. Rightscom is an active participant in the Fedora UK Users' Group, and has worked with Fedora's core development team in an ad-hoc capacity on various technical issues.

Loughborough University, Rightscom and EDItEUR have worked together on previous projects for JISC, including the TIME project where a major software development to deliver and interoperability solution for ebook metadata was designed and implemented by Rightscom with substantial support from Loughborough University and EDItEUR.

EDItEUR is responsible for ONIX and ONIX-LT, so will be able to support the project through knowledge of the standard and its ongoing work in developing ONIX-LT.

4 Project team roles

4.1 Project Staff and Management

The following people will undertake the project. All key staff involved are in place: some recruitment may be needed for junior roles.

4.1.1 LOUGHBOROUGH UNIVERSITY

Professor Charles Oppenheim: Project Director. Professor Oppenheim will be responsible for the projects' overall performance and for quality of deliverables. He will provide the main liaison with JISC, and in particular be working with the rest of the team to ensure deadlines are met.

Dr Steve Proberts: Steve Proberts will contribute to the design of the user interface, including the presentation tier and the input/ingest functionality. Steve will be involved in testing the registry solution at various phases of development and of liaising with the development team. He will also ensure that the user requirements are being met during the design/development process.

Dr Adrienne Muir: Adrienne Muir will oversee all aspects to do with preservation of data in the Licence Registry and will liaise with the project team to ensure that the proposed registry solutions are compatible with best practice for long term preservation of the information held in the registry.

Research Assistant: TBC: a part-time Research Assistant with appropriate technical skills will be recruited to undertake the research tasks associated with the project, including the user requirements and analysis, and liaison with providers of materials and licences. The RA will also be responsible for preparation of data for loading into the pilot and administration of the public website for the project.

4.1.2 RIGHTSCOM LTD

Rightscom will undertake the design, development and deployment of the pilot, with input from Loughborough and EDItEUR.

Rightscom will arrange deployment, testing and refinement of the pilot, with assistance from Loughborough. Rightscom and Loughborough will collaborate to recruit further content owners if considered necessary, who will provide licences to populate the pilot

Rightscom will provide technical project management.

Hugh Look: Project Manager for Rightscom, including design and build stage; user requirements elicitation

Mark Bide: User requirements elicitation and advice on metadata and rights management

Martin Dow: Technical Architect responsible for the overall design of the pilot and leading on major technical and specification decisions

Senior Developer: To lead implementation and delivery based on the Technical Architect's design; set-up and maintenance of partner extranet

Junior Developer: To assist with development and, during test phase, user support.

4.1.3 EDITEUR LTD

David Martin: Information architecture and data dictionary development

Francis Cave: ONIX-LT tools development lead; technical architect for ONIX-LT development; technical implementation

4.1.4 NAOMI KORN

Naomi Korn will provide expertise and advice on legal and licensing issues, in particular the scoping of user requirements.

4.1.5 OXFORD UNIVERSITY PRESS

Martin Richardson: Liaison with data providers within organisation. Provide "real-world" licence data and other metadata for the pilot. It will also advise the project team on publisher requirements as part of the process of gathering user requirements.

4.1.6 OPEN UNIVERSITY

Richard McCracken: Liaison with data providers within organisation. Provide "real-world" licence data and other metadata for the pilot. It will also advise the project team on publisher requirements as part of the process of gathering user requirements.

5 Dissemination

All the results will be reported throughout the duration of the project via conference contributions, journal articles, a small public project website. The project staff will also actively engage in ongoing discourse in relevant community mailing lists, discussion boards, work blogs and meetings.

Final recommendations for wider adoption by the community will be disseminated at the end of the project.

6 Workplan and milestones

| Workplan | | | | |
|-------------------------------|---|-----------------|-------------------|--|
| Workpackage | Task | Start | End | |
| Setup | | | | |
| | Kickoff meeting | 15 March 2007 | 15 March 2007 | |
| User requirements | | | | |
| | User requirements study plan | 16 March 2007 | 30 March 2007 | |
| | Recruitment of users for study | 30 March 2007 | 30 April 2007 | |
| | User requirements study | 30 April 2007 | 31 July 2007 | |
| Design and development | | | | |
| | ONIX-LT Vocabulary Metamodel component | 16 March 2007 | 31 July 2007 | |
| | ONIX-LT parser | 16 March 2007 | 31 July 2007 | |
| | Validation of chosen toolset | 16 March 2007 | 30 June 2007 | |
| | Architecture & design | 01 July 2007 | 30 September 2007 | |
| | Main development phase (including iterations) | 01 October 2007 | 31 May 2008 | |
| | Internal User Acceptance Test | 01 June 2008 | 30 June 2008 | |
| Deployment | | | | |
| | Deployment testing | 01 June 2008 | 30 June 2008 | |
| | Release | 01 July 2008 | | |
| Pilot operation | | | | |
| | Pilot operation | 01 July 2008 | 31 December 2008 | |
| | Feedback and comment collection | 01 July 2008 | 31 December 2008 | |
| Refine | | | | |
| | Refine after feedback from pilot operation | 01 January 2009 | 14 March 2009 | |
| Final report | | | | |
| | Final report | 15 January 2009 | 14 March 2009 | |
| Project management | | | | |
| | Throughout | 14 March 2007 | 14 March 2009 | |

7 Risk Analysis

| Risk | Probability (1-5) | Severity (1-5) | Score (PxS) | Action to Prevent/Manage Risk |
|--|----------------------|-------------------|----------------|--|
| Staffing | | | | |
| Staffing (Resourcing issues at partners) | 2 | 3 | 6 | <p>All partners endeavour to manage their work streams so that they do not encounter resourcing issues.</p> <p>Loughborough: if necessary, alternate RAs or management staff can be identified. The only possible delay is in recruitment of an RA, and with the current pool available at Loughborough, this is unlikely to be an insuperable problem Professor Oppenheim is currently committed to another JISC project that is due to finish in July 2007.</p> <p>Rightscom currently has no other projects that would cause any resource conflicts with this project: Rightscom believes that it can carry out the project effectively given the timescales and the timescales for other projects with which we are involved. Rightscom is involved in a proposal for another JISC Capital Programme project: however, even taken together these would not present resource conflicts as they are sufficiently far ahead to allow effective resource planning. In the unlikely event of resourcing issues, other Rightscom staff understand this field and would be able to assist with the project if necessary, and Rightscom also has associates who have worked in this field.</p> |
| Staff retention | 1 | 3 | 3 | All proposed staff for the project are in place. Staff will be managed to ensure they are comfortable with the work and to highlight any difficulties early |
| Organisational | | | | |
| Misunderstanding, disagreement or poor working relationship between partners | 2 | 4 | 8 | Partners have worked together extensively in the past. The two main project managers (Oppenheim and Look) have a good working relationship developed over many years; the project management approach will emphasise clear communication between partners by means of e mail, phone conversations and face to face. Problem reporting within either partner will be encouraged at an early stage to help identify solutions. A consortium agreement will be signed agreeing each partner's role and responsibilities within the project |
| Breadth of work outgrows project | 3 | 3 | 9 | Ensure initial scoping of the issue and aims of the demonstrator are realistic, in conjunction with JISC |
| Technical | | | | |
| Chosen technical platform cannot deliver pilot | 2 | 3 | 6 | The selected Fedora platform will be tested against the use cases identified. Previous experience with using Fedora to build a demonstrator has proved successful. Alternative technologies will, however, be reviewed as potential fallback alternatives. |
| Pilot does not meet JISC requirements | 2 | 3 | 6 | Early demonstration to JISC to ensure the demonstrator is meeting requirements, but with time to adjust where necessary |
| Publishers or other content owners unwilling to contribute content to pilot | 2 | 3 | 6 | Two publishers have already agreed; we do not anticipate any problems in replacing one of these should they withdraw from the project. |
| Delayed development of ONIX-LT | 3 | 3 | 9 | Necessary framework development could be undertaken by Rightscom outside EDItEUR |
| Problems implementing design with tools chosen | 3 | 2 | 6 | There are alternative tools that could be adopted if required. |

8 Budget

| Directly Incurred Staff | March 07 | April 07– March 08 | April 08– March 09 | TOTAL £ |
|---|---------------|--------------------|--------------------|-----------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | £14,079 |
| Total Directly Incurred Staff (A) | £881 | £19,557 | £6,124 | £26,562 |
| | | | | |
| Non-Staff | March 07 | April 07– March 08 | April 08– March 09 | TOTAL £ |
| Travel and expenses: quarterly project team meetings | £250 | £1,000 | £1,000 | £2,250 |
| Hardware/software: desktop PC (incl VAT) | £750 | £ | £ | £750 |
| User requirements workshops costs (2 events): participant travel, room hire etc | | £1,750 | | £1,750 |
| Server rental for deployment of pilot (incl VAT and inflation) | - | £915 | £915 | £1,830 |
| Technical consultancy contingency | - | £2,950 | £2,950 | £5,900 |
| Dissemination: one UK conference; final year workshop. | - | - | £1,500 | £1,500 |
| Evaluation: consultants costs (incl VAT) | £852 | £20,445 | £19,593 | £40,890 |
| Consultants: non evaluation costs (full cost incl VAT) | £2,180 | £52,317 | £50,137 | £104,634 |
| Total Directly Incurred Non-Staff (B) | £4,032 | £79,377 | £76,095 | £159,504 |
| | | | | |
| Directly Incurred Total (A+B=C) (C) | £4,913 | £98,934 | £82,219 | £186,066 |
| | | | | |
| Staff | - | - | - | - |
| Estates | £130 | £2,831 | £419 | £3,380 |
| Other | - | - | - | - |
| Directly Allocated Total (D) | £130 | £2,831 | £419 | £3,380 |

| | | | | |
|--|---------------|----------------------|-------------------------|-----------------------|
| | | | | |
| Indirect Costs (E) | £805 | £17,507 | £2,595 | £20,907 |
| | | | | |
| Total Project Cost (C+D+E) | £5,848 | £119,272 | £85,233 | £210,353 |
| Amount Requested from JISC | £5,527 | £111,918 | £79,941 | £197,386 |
| Institutional Contributions | £321 | £7,354 | £5,292 | £12,967 |
| | | | | |
| Percentage Contributions over the life of the project | | JISC 94 % | Partners 6 % | Total 100% |

8.1 External partners' resource allocation

| | Total (inc VAT) | Days | Blended daily rate (inc VAT) |
|-------------------------|------------------------|-------------|-------------------------------------|
| Rightscom | £104,516 | 145 | £721 |
| EDItEUR | £18,095 | 22 | £823 |
| NK | £8,813 | 10 | £881 |
| Oxford University Press | £7,050 | 10 | £705 |
| Open University | £7,050 | 10 | £705 |

9 Intellectual Property Rights

The University of Loughborough and Rightscom retain such rights in outputs as agreed in the partnership agreement signed at the start of the project.

In accordance with the Terms & Conditions of JISC grants, all project outputs will be made available under licence, free at the point of use, to the UK HE and FE community in perpetuity, and to the JISC. The demonstrator will be packaged for use in JISC dissemination under these terms.

We intend to use open source tools and software wherever possible with the overall objective of ensuring that at the end of the project the pilot will be freely available for JISC to use as it sees fit. Should it seem desirable to use proprietary tools or software then this will be discussed with the JISC programme director.

Loughborough University and/or its partners will own the IP in any presentations referring to the project made after the end of the project to any other group or organisation. The project partners reserve the right to write articles regarding the project in scholarly and/or professional journals. They will retain the IPR in said articles and will not assign it to the journal publishers. Any such output will also be placed on the Loughborough University Institutional Repository and such items will be made Open Access.

Appendix 1: Organisation profiles

Rightscom Ltd (www.rightscom.com) is a consultancy specialising in metadata and media issues, and in licensing and rights in particular. It is involved in several large projects for commercial and public sector clients, and has close involvement a number of standards developments including ONIX for Licensing Terms. It is leading the project to develop the ACAP standard, which will allow online content providers to systematically provide information about policies relating to access and use of their content to aggregators and others on the web (www.the-acap.org). Rightscom's technical delivery team is experienced in contemporary "best practice" development techniques, including rapid application development, iterative development processes, and industry-standard quality assurance techniques to ensure maximum productivity and the highest quality results.

EDItEUR (www.editeur.org/) is the international group coordinating development of the standards infrastructure for electronic commerce in the book and serials industries. It is an international organisation with 90 members from 17 countries. EDItEUR acts as an international umbrella body for the various national EDI book sector EDI groups. It is leading the development of ONIX for Licensing Terms and is therefore ideally placed to support the Licence Registry project with expertise in this area.

Naomi Korn (www.naomikorn.com) works extensively with the HE and FE sector as well as the cultural heritage and private sectors. Her expertise lies in implementing solutions to copyright and licensing issues, by responding to user needs and institutional requirements by devising and implementing copyright procedures and policies, management of digital rights and tailor-made training. Naomi's clients include King's College London, TASI (JISC funded Technical Advisory Service for Images), MDA (Museums Documentation Association) and the British Library. Naomi is also currently leading on the JISC IPR Consultancy, together with Professor Oppenheim, which includes over-seeing the evaluation of Creative Commons Licences in HE/FE which is being delivered by Rightscom. Naomi is the Secretary of the Museums Copyright Group, sits as an observer on LACA (Libraries and Archives Copyright Alliance), is a regular speaker at conferences and seminars on rights issues and regularly contributes to emerging industry standards and publications.

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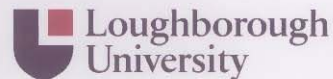
Appendix 3: Letters of support

Loughborough University

Research Office

Loughborough University Leicestershire LE11 3TU UK
Department: +44 (0)1509 222451 Fax: +44 (0)1509 223953

Ms Nike Holmes
Committee Secretary for JIIE
JISC Executive
JISC/HEFCE
Northavon House
Coldharbour Lane
BRISTOL
BS16 1QD



Direct Line: 01509 222450
Fax: 01509 223953
E-mail: P.A.Townsend@lboro.ac.uk
<http://www.lboro.ac.uk/>

Our ref: PAT/jeg

22 November 2006

Dear Ms Holmes,

Research Project: Pilot Implementation of Licence Registry
Principal Investigator: Professor Charles Oppenheim

I confirm that Professor Oppenheim's participation in the above-mentioned project is fully supported and confirm that the University will be willing to provide the necessary administration for the activity.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Peter A. Townsend'.

Peter A. Townsend
Research Manager

Cc: Professor Oppenheim, Department of Information Science

Encl.



THE QUEEN'S
ANNIVERSARY PRIZES
2000 & 2002

Rightscom Ltd



Lincoln House, 75, Westminster Bridge Road, London SE1 7HS, UK

21st November 2006

To whom it may concern

JISC Capital Programme: Pilot License Repository

This is to confirm that Rightscom has agreed to participate as a partner in the project to build a Pilot License Repository.

A handwritten signature in black ink, appearing to read "Andrew Farrow". The signature is stylized and cursive.

Andrew Farrow
Managing Director

Editeur



The International Group for Electronic Commerce in the Book and Serials Sectors

16 November 2006

To whom it may concern:

JISC Capital Programme: Pilot Licence Registry

This is to confirm that Editeur Ltd supports the the desirability of building a Pilot Licence Registry and has agreed to participate in this project as a partner.

Yours faithfully,

A handwritten signature in black ink, appearing to be "Brian Green", written over a horizontal line.

Brian Green
Executive Director

39-41 North Road London N7 9DP UK Tel: +44 (0)20 7607 0021 Fax: +44 (0)20 7607 0415 Email: brian@bic.org.uk

SPONSORED BY THE FEDERATION OF EUROPEAN PUBLISHERS, EUROPEAN BOOKSELLERS FEDERATION, EUROPEAN BUREAU OF LIBRARY, INFORMATION AND DOCUMENTATION ASSOCIATIONS
REGISTERED IN ENGLAND NO 2994705 REGISTERED OFFICE: 20-26 CURSITOR STREET LONDON EC4A 1HY

9.1 Naomi Korn

Naomi Korn
COPYRIGHT CONSULTANCY

PURSuing BEST COPYRIGHT PRACTICE FOR THE CULTURAL HERITAGE SECTOR

17 November 2006

Dear Sir/Madam

Re: Licence Registry Proposal

I am very pleased to be a named partner within the proposal submitted by Loughborough University in response to JISC Capital Programme: Section G - Repositories

Yours faithfully



Naomi Korn

120 Riverway Palmers Green London N13 5JX
tel 020 8886 1764 mob 07957 761 032 email naomi@naomikorn.com www.naomikorn.com

Partners: N.A.Korn BA(Hons) MA & E.R.Marcus BA(Hons), LPC

Oxford University Press

OXFORD
UNIVERSITY PRESS

Oxford Journals

Managing Director: Martin Richardson

Great Clarendon Street
Oxford OX2 6DP
United Kingdom

+44 (0) 1865 556767 *telephone*

+44 (0) 1865 556646 *Direct fax*

www.oxfordjournals.org

+44 (0) 1865 353780 *direct line*

+44 (0) 1865 353200 *direct fax*

martin.richardson@oxfordjournals.org

November 16, 2006

Ref: Jnls/ts


Hugh Look
Senior Consultant
Rightscom Limited
First Floor
Lincoln House
75 Westminster Bridge Road
London SE1 7HS

To whom it may concern:

JISC Capital Programme: Pilot Licence Registry

This is to confirm that Oxford University Press supports the desirability of building a Pilot Licence Registry and has agreed to participate in this project as a partner.

Yours sincerely



Martin Richardson
Managing Director, Oxford Journals

Open University

21/11/2006 17:13

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RIGHTS OPEN UNI

PAGE 01/01



The Open University

Learning & Teaching Solutions

The Open University

Walton Hall

Milton Keynes

United Kingdom

MK7 6AA

Tel: +44 (0) 1908 274 066

www.open.ac.uk

21st November 2006

To whom it may concern:

JISC Capital Programme: Pilot Licence Registry

This is to confirm that The Open University supports the desirability of building a Pilot Licence Registry and has agreed to participate in this project as a partner.

Yours etc

Richard McCracken
Head of Intellectual Property
The Open University