

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 <i>'metadata generation and validation'</i>
Discovery to Delivery (Strand C)		
<input type="checkbox"/>	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)		
<input checked="" type="checkbox"/>	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)		
<input type="checkbox"/>	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)		
<input type="checkbox"/>	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: University of York		
Name of Proposed Project: SAFIR (Sound Archives Film Image Repository)		
Name(s) of Project Partner(s): none		
Full Contact Details for Primary Contact:		
Name: Elizabeth Heaps Position: University Librarian Email: aemh1@york.ac.uk Address: J.B.Morrell and Raymond Burton Libraries, University of York, Heslington, York YO10 5DD Tel: 01904 433863 Fax: 01904 433866		

Length of Project: Eleven months		
Project Start Date: 1 May 2007 Project End Date: 31 March 2008		
Total Funding Requested from JISC: £29,995		
Funding Broken Down over Financial Years (April – March):		
Apr06 – Mar07	Apr07 – Mar08	Apr08 – Mar09
	£29,995	
Total Institutional Contribution: £81,276		
Percentage Contributions over the Life of the Project:	JISC 27%	PARTNER (York) 73%
Outline Project Description		
<p>This project will set up an open access repository at the University of York for resources in a variety of formats, including sound, archives, film and images, to complement both the University's research publications held in the White Rose e-prints repository and the digital teaching materials in the University's VLE (Blackboard). It will investigate the available open source and commercial software to determine which is both most appropriate for this range of formats and conforms to current standards within the JISC Information Environment for interoperability. The repository will form part of the University's Information Environment to deliver the University strategy for storage, preservation, retrieval and dissemination of digital assets</p>		
I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box)	YES ✓	
I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box)	YES ✓	

FOI Withheld Information Form

We do not wish to claim any exemption from disclosure under the Freedom of Information Act in respect of this bid.

1 Introduction

1.1. University of York Information Environment

The University of York has a strategy to establish an Information Environment within which there will be interoperable repositories for research data and resources, learning objects and published research outputs; a content management system and portal; a virtual learning environment; the library management system and associated software (e.g. OpenURL Link Resolver). With its White Rose partners (Leeds and Sheffield) it was one of the original partners in the JISC and CURL-funded SHERPA project and set up a cross-institutional repository for research e-prints. This repository has achieved an encouraging level of success; 94% of its content is full-text and most is peer-reviewed post-prints. The University of York, through a policy endorsed by both the Research and Information Committees, has approved this repository as a means to widen access to research and increase its impact, and strongly encourages staff to deposit research papers where copyright allows. The University policy on the VLE, endorsed by Teaching Committee, states that it should facilitate collaboration and the sharing of digital learning and teaching objects across the institution. The need, which this project will address, is to create a repository to store digital resources from various disciplines (e.g. music, art history, forensic phonetics, theatre, film and television, history, psychology) and different formats (sound, archives, film, video, and images) which may be a source for research, or arise out of research work. York is a research-led University, where teaching is informed by research, and these resources will also be used for teaching. Some of them are already digital, others require digitisation and bids as appropriate will be made to a range of funders to carry out digitisation. In a few cases access to these resources may need to be controlled, for example where there is a sensitivity about access to research with human data subjects, but the metadata will facilitate resource discovery of all the content.

1.2. The rationale for a new repository

The possibility of adding these resources to the White Rose e-prints repository was considered, but has been rejected, partly because research outputs and digital resource collections are different entities but also because the MIDESS Project has identified a number of key requirements relating to the management of digital images and multimedia content, which are different from those for e-prints.

- In particular, the repository needs to be able to present a digital collection as a coherent whole; for example, it must have the ability to present a series of thumbnail images as a collection, in order to 'showcase' particular collections, or bring together similar themes. Users expect to be able to browse through image collections by viewing an entire collection of thumbnails on screen, and then home in on the particular images of interest to them. Crucially, the repository needs to be able to present an image-centred view of the collection, rather than a metadata-centred view, as it is the images that are of primary interest to the users. An excellent example of this handled well can be seen in the Matapihi repository, which is run by the National Library of New Zealand

<http://www.matapihi.org.nz/logicrouter/servlet/LogicRouter?OUTPUTXSL=showcase.xsl&lang=en>

- It is also important for an image repository to be capable of handling multiple metadata schemas. Simple Dublin Core, for example, is rarely complex enough to describe image collections adequately. Ideally an image repository should be able to handle different metadata schemas depending on the requirements of the collection being described.
- Permissions management is also crucial as it will be essential that some collections are limited to specific target audiences.
- The repository infrastructure also needs to contain the ability for bulk uploading of existing collections and metadata, and should interface to institutional learning and teaching systems, such as VLEs and Portals.

As Leeds has already set up an image repository, and Sheffield is not currently pursuing work in this area, a single White Rose solution to the multimedia requirements at York was not achievable. However, the three libraries continue to collaborate on the White Rose e-prints repository and project SAFIR will draw on the work of MIDESS, particularly in relation to metadata standards, and also their work on IPR and copyright which will be available shortly.

1.3. Content

Project SAFIR will set up an open access repository at the University of York for resources including sound, archives, film and images, to complement both the University's research publications held in the White Rose e-prints repository and the digital teaching materials in the University's VLE (Blackboard). The University has particular strengths in humanities research and a major archival collection of national and international importance in the Borthwick Institute for Archives. By their nature the archive collections are unique. Resources already identified for inclusion in the new repository are:

- 1.3.1. The University of York Sound Archives:** sound recording collections held at the University of York, available for teaching, research and listening. The Sound Archives specialises in non-commercial, off-air and unreleased recordings, a joint initiative of the Music Department and the Borthwick Institute for Archives, which together manage the collection, preservation and dissemination of recordings in increasingly obsolete media. The University of York is the third Music Preserved Listening Centre, with [The Barbican Music Library](#) in London and the [Jerwood Library of the Performing Arts](#) at Trinity College of Music in Greenwich. The Sound Archives also hold a significant collection of recordings from the ECM label, the Ray Spencer Jazz Collection and the John R.T Davies collection of 20,000 rare Jazz 78s and LPs.
- 1.3.2. Archives:** the Borthwick Institute has plans to digitise its collection of wills and probate records (the largest in the UK outside the National Archives) and is bidding to the AHRC for funds to do so; also to create a database of ecclesiastical court records, with attached digital images (a bid to the Mellon Foundation); and to digitise the Lascelles slavery archives which have been deposited at York from Harewood House. For this and other similar research bids to be successful, the University must provide the repositories infrastructure, of which this project forms a key part.

1.3.3. Film and video: building on existing work in the departments of English, Sociology, Music and Electronics, the University has created a new department of Theatre, Film and TV which will take its first students in 2007. Video and film resources will be central to this new department which will develop innovative technologies for creating and using digital resources.

1.3.4. Images: Several departments (including History of Art, Archaeology and Biology) have large collections of images, currently slides, which will be digitised.

1.4. Timescale

Project SAFIR will start on 1 May and end on 31 March 2008. Because a project officer has to be recruited, the first month will be spent in preliminary planning and recruitment, with substantive work starting in June. This project is an essential building block of the University's strategy for its Information Environment. The University has allocated capital funds in addition to those sought from JISC for the project and has committed to funding the wider strategy within the Information budget.

1.5. Key objectives

- To create a digital repository for sound, archives, film and image resources.
- To establish policies for its population, metadata and management
- To embed this repository in the University's current and planned information environment, including repositories, VLE, institutional content management system and portal

Project SAFIR falls within Call Area III for repository start-up. It will create a new repository to improve the discovery of and access to resources not currently well-represented in repositories, especially in the humanities and in sound/visual image form. It will contribute to the observance and development of the technical standards with the JISC Information Environment. It will help to develop a critical mass of content, building on the work of the White Rose e-prints repository (which is also bidding under this call for the INCREASE project to automate the gathering, presentation and indexing of content) and the ongoing MIDESS project work at Leeds. York, representing White Rose, is currently a partner in the StORe project, working closely with the Archaeology Data Service/AHDS Archaeology, based in the University's Archaeology Department. Project SAFIR will be able to use the results of the survey of researchers' needs undertaken for StORe and enable further investigation of links between different repositories, both within the University of York and White Rose Consortium, but also national repositories such as the ADS/AHDS Archaeology, and subject repositories (the Department of Health Sciences at York, as part of the IVINURS consortium, is submitting a bid for e-learning resources for nursing under this call).

2 Project description

The project will be managed according to JISC project management protocols by a full-time Project Manager (to be recruited). The Project Director (Elizabeth Harbord, Library Head of Collection Management) will oversee the work of the project and act as an advocate for it to the external community. There will be a Steering Group to advise the project and act as

champions for it within the University and externally, consisting of the University Librarian, Professor Julian Richards and Professor John Local.

2.1. Project plan

Note: approval from JISC cannot now be received until the second half of March. A Project Officer has to be recruited, so substantive work cannot begin until the Project Officer is in post (from June to August, depending on the notice-period required). Initial planning will start earlier but the timescales below will have to be adjusted to take account of the later approval and the appointment date of the project officer

Workpackage (WP)	Timescale	Outcomes/deliverables
1. This work package will provide overall management of the project and ensure that the outputs are delivered on time and within budget	Mar 07 to Feb 08	Project management documents i.e. work-plan, progress reports and final report to JISC, website, dissemination activities
2. Analysis of user requirements	Mar to Jun 07	Statement of requirements
3. Evaluation and selection of software and hardware	May to Aug 07	Use requirements from WP2 to evaluate and select software and hardware
4. Consider and implement appropriate metadata standards for sound and image collections	Aug to Oct 07	Metadata schemas
5. Hardware and software installation; testing and configuration of software	Sep 07 to Feb 08	Repository installed and working
6. Review university policies on digital assets in relation to the new repository	Aug 07 to Feb 08	Updated policies
7. Dissemination and evaluation	Apr 07 to Feb 08	Project web pages, project reports, conference presentations or articles

2.2. Risk management

Risk	Categorisation of risk	Action to minimise risk
Project manager not recruited in time	High	Job description and advertisement to be developed as soon as possible once funding has been granted. Project Director to co-ordinate the initial work until manager is in post
Project manager leaves before the project is completed	Medium	Manager will have three month notice period which may enable successor to be appointed without a significant

		gap. Project documentation to be kept up-to-date and other library staff involved, so the project can continue with minimal disruption.
Expectations of stakeholders greater than the project can meet	Low	Good communication with stakeholders; ensuring feedback; assisted by academic and other champions on the Steering Group.

2.3. Value of project outcomes to the JISC community

The project outcomes, specifically the statement of requirements, software evaluation and metadata schemas suitable for sound, archives, film and image collections, will assist other HEIs which wish to set up a similar multimedia repository. The repository will add to the existing repository network, thus contributing to the programme aim of developing populated repositories based on common standards to facilitate the discovery and use of new digital resources. It will provide a model of how repositories can be used for multiple purposes, and how different repositories (such as White Rose, SAFIR and the York VLE) with shared standards, can complement each other to support research, teaching, research dissemination and digital archiving of important collections. The dissemination activities will ensure that the lessons learnt are shared with the JISC community.

2.4. Dissemination and evaluation

Dissemination of the project outcomes to the University and the wider community will be an ongoing activity. Specific activities will include the creation and regular updating of project web pages, publication of project documents on the web, participation in 04/06 programme events, conference presentations and/or articles in the professional literature. Formative evaluation will be ongoing by the project manager and summative evaluation will form part of the final report.

2.5. IPR

- 2.5.1.** The project will be managed according to JISC guidelines for the handling and management of intellectual property. Project outputs will be made available free of charge to the UK HE and FE community in perpetuity, and will be available for wide dissemination in partnership with the JISC.
- 2.5.2.** Good practice, as identified in the MIDESS report on IPR issues in institutional and cross-institutional multimedia repositories will be followed.
http://www.leeds.ac.uk/library/midess/IPRreport_finalversion.pdf.
 Multimedia resources present particular and varied IPR challenges beyond those encountered in adding printed publications to an institutional repository.
- 2.5.3.** A risk management strategy will be developed to avoid infringing copyright, and a system will be devised for recording IPR and permissions granted. Existing university policies on e.g. the rights of depositors and end-user licences will be reviewed and amended as necessary to meet the special requirements of multimedia. Resources will be open access where possible, but it is expected that access control will be

required for some, especially those used in research, as opposed to teaching. The functionality to manage controlled access will be a key criterion in evaluating potential software.

2.6. Standards

The project will work within the technical standards and protocols for resource discovery and curation identified in the JISC Information Environment.

2.7. Sustainability issues

The repository created by the project is part of the University Information Environment strategy and an extension of existing funded services (E-prints repository and VLE). A commitment for funding to sustain the repository after the project finishes, has been made.

3 Budget

3.1. TRAC methodology has been used to calculate the costs and, in accordance with this methodology, indirect costs have not been included because the project staff will be Library, not research, staff. The Project Manager post will be advertised as soon as JISC funding has been granted, with a view to an appointment starting as soon as possible.

*The server and software costs are the maximum expected and once the user needs and software evaluations have been completed, may in practice be lower. The server cost is based on advice from the MIDESS project at Leeds which has recently installed an image server; the software cost is based on a quotation for Ex Libris' Digitool product. The SAFIR project will consider both open source and commercial software, but given the specialised requirements of image repositories, a commercial solution may prove necessary.

Directly Incurred Staff	March 07	April 07– March 08	April 08– March 09	TOTAL £
Project Manager, Grade 7, 100% FTE for 9 months from June 07	£	£ 29,995	£	£29,995
Total Directly Incurred Staff (A)	£	£29,995	£	£29, 995
Non-Staff				
Non-Staff	March 07	April 07– March 08	April 08– March 09	TOTAL £
Travel and expenses (attendance at 2 programme meetings)	£	£ 200	£	£ 200
Server * PC for project manager Software *	£	£25,000 £ 500 £50,000	£	£75,500
Dissemination (conference attendance)	£	£ 300	£	£ 300
Other	£	£	£	£

Total Directly Incurred Non-Staff (B)	£	£76,000	£	£76,000
Directly Incurred Total (A+B=C) (C)	£	£105,995	£	£105,995
Directly Allocated	March 07	April 07– March 08	April 08– March 09	TOTAL £
Project Director, Grade 8, 10% FTE for 11 months from 1 May 07	£	£5,276	£	£5,276
Directly Allocated Total (D)	£	£5,276	£	£5,276
Indirect Costs (E)	£	£ 0	£ 0	£ 0
Total Project Cost (C+D+E)	£	£111,271	£	£111,271
Amount Requested from JISC	£	£29,995	£	£ 29,995
Institutional Contributions	£	£ 81,276	£	£ 81,276
Percentage Contributions over the life of the project		JISC 27 %	Partner 73 %	Total 100%

3.2. The project will provide the following **qualitative and quantitative benefits** to the University of York:

- A contribution to the coherent and cost-effective management of digital assets, ensuring adherence to standards and enabling the sharing of resources.
- The enhancement of research, teaching and learning, especially in interdisciplinary areas, to facilitate innovation
- The enhancement of the University's capability to bid for funding for major digitisation projects (e.g. to the AHRC and Mellon Foundation as described in 1.3)

4 Key Project Personnel

4.1. Project Director

Elizabeth Harbord is Head of Collection Management at the University of York Library & Archives, where she has worked for seven years. She is responsible for the strategic and operational management of information resources, both print and electronic, and leads the White Rose repository work at York. Previously she worked at the University of Newcastle, responsible for library information systems and services. She has been involved with several JISC projects such as SHERPA, SHERPA-DP and LOCKSS, and is a member of the StORE project management group. She has also recently managed two online cataloguing projects;

the National Railway Museum Library Collection (funded by the AHRC) and Yorkshire Country House Libraries (funded by MLA Yorkshire).

4.2. Steering Group members

4.2.1. Elizabeth Heaps has been University Librarian for nine years and Director of the Borthwick Institute for Archives since 2004. She is a member of the JISC Content Services Committee and the Intute Board. She has recently ended a term of office on SCONUL's Executive Board, and has been a member of several of its task forces and working groups, including eLearning and Advocacy and Lobbying. She is currently Vice Chair of MLA Yorkshire, and Chair of the North East and Yorkshire Academic Libraries purchasing consortium. Among the major projects she has led are the building of the University's Raymond Burton Library for Humanities Research, and the relocation of the Borthwick Institute for Archives into purpose built state-of-the-art facilities, with the support of a successful Heritage Lottery Fund bid. In addition to the JISC projects listed above, York also led the ARCHway project which had 18 partner institutions.

4.2.2. Professor Julian Richards is Head of the Department of Archaeology and Director of ADS/AHDS Archaeology, and the multimedia e-journal, *Internet Archaeology*. He has been a specialist in ICT applications in the humanities for twenty years and is an internationally regarded expert on digital publication and archiving, having edited several AHDS Guides to Good Practice and published numerous books and articles. He is Programme Director for York's MSc in Archaeological Information Systems. He is currently running an AHRC ICT Strategy programme project on linking publications and archives. In the past he has led successful JISC-funded projects for AHDS under the 5/99 programme (PATOIS), RSLP (OASIS), and he headed the ADS contribution to the CREE JISC portals project. He directed two portal demonstrator projects for the Common Information Environment. He is a member of the JISC Images Working Group, the StORe Steering Group, and the AHDS/AHRC working party on sustainability. He has recently stepped down as Chair of the University Computing Committee.

4.2.3. John Local is Professor of Phonetics and Linguistics and the University of York's equivalent of Dean of Arts & Humanities. He has an international reputation for his work in the framework of Firthian Prosodic Analysis, the innovative *Yorktalk* speech synthesis system and the phonetic organisation of talk-in-interaction. His current research centres on the sequential and phonetic design of indirectness in everyday conversation. He is the HE representative on the AHRC's Museums and Galleries Committee and is Chair of the Linguistics Sub-Panel for the 2008 RAE. He has acted as an external assessor of research quality for departments and research units in the UK and South Africa.

16th November 2006

Ms Nike Thomas
Joint Information Systems Committee

Dear Ms Thomas

Project SAFIR – Sound Archives Film Image Repository

I am writing in support of this bid under Strand D of the JISC Circular 04/06 Repositories and Preservation Programme. The University has committed to creating an information environment to support its mission for excellence in research, teaching and learning. The collaboration with our White Rose partners to set up an e-prints repository, hosted at Leeds, as part of the SHERPA project was the first stage of our involvement with repositories.

The SAFIR project will enable us to set up a multimedia repository in York and extend our creation and management of digital assets, which is becoming increasingly important in the University's information provision. The University has identified some capital funding for this project, but is bidding to JISC for staffing, as we do not currently have the capacity to undertake this work. The ongoing need for the management of digital assets, once the repository has been set up, has been recognised by the University and funding has been committed for it.

Yours sincerely



Trevor Sheldon
Pro-Vice-Chancellor for Teaching and Learning