

Cover Sheet for Proposals <i>(All sections must be completed)</i>		JISC Digital Repositories Programme	
Project Area: <input type="checkbox"/> a) Interoperability Demonstrators <input type="checkbox"/> b) Data Audit Framework <input type="checkbox"/> c) Pilot Implementations of the data audit framework		C) Pilot Implementation of the data audit framework	
Name of Lead Institution:		King's College London	
Name of Proposed Project:		KCL PI-DAF	
Name(s) of Project Partner(s):			
Full Contact Details for Primary Contact: Name: Sheila Anderson Position: Director, Centre for e-Research Email: Sheila.Anderson@kcl.ac.uk Address: 26-29 Drury Lane, London, WC2B 5RL Tel: 020 7848 1981 Fax: 020 7848 1989			
Length of Project:		6 Months	
Project Start Date:		18th February 2008	Project End Date: 15th August 2008
Total Funding Requested from JISC:			
Total Institutional Contributions:			
Outline Project Description This proposal is submitted by King's College London to undertake a pilot implementation of the Data Audit Framework. It will provide a worked example to demonstrate the viability of the tool, and a detailed case study that will provide guidance to others wishing to implement the tool. The Project will provide input and feedback to the Data Audit Framework development team throughout the Project, and will provide the outputs from the implementation to a central resource to be designated by JISC.			
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 would like JISC to consider withholding the following sections or paragraphs from disclosure, should the contents of this proposal be requested under the Freedom of Information Act, or if we are successful in our bid for funding and our project proposal is made available on JISC's website.

We acknowledge that the FOI Withheld Information Form is of indicative value only and that JISC may nevertheless be obliged to disclose this information in accordance with the requirements of the Act. We acknowledge that the final decision on disclosure rests with JISC.

Section / Paragraph No.	Relevant exemption from disclosure under FOI	Justification
None		

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

Example:

Section / Paragraph No.	Relevant exemption from disclosure under FOI	Justification
2.4	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.

Pilot and Exemplar Implementation of the Data Audit Framework

A Proposal from King's College London (Short title: KCL PI-DAF)

1. Summary

This proposal is submitted by King's College London to undertake a pilot implementation of the Data Audit Framework. It will provide a worked example to demonstrate the viability of the tool, and a detailed case study that will provide guidance to others wishing to implement the tool. The Project will provide input and feedback to the Data Audit Framework development team throughout the Project, and will provide the outputs from the implementation to a central resource to be designated by JISC.

2. Fit to Programme Objectives and Value to the JISC Community

This proposal is submitted by King's College London in response to JISC Circular 5/07: Call for Projects in Digital Repositories; Part B: Pilot and Exemplar Implementations of the Data Audit Framework. Its purpose is three-fold:

- To contribute to the development and refinement of the Data Audit Framework (DAF) throughout the lifetime of the Project
- To test and implement the Data Audit Framework across a representative sample of disciplines within King's, including making the outputs available to a central resource designated by JISC
- To document the experience in the form of an extensive case study that is of use to others implementing the Framework

King's College London is well placed to undertake this project. Information Systems and Services has recently received significant investment from the College to undertake a major upgrade of systems and to implement the 'Connected Campus' Programme. The Connected Campus is an ambitious programme to develop an innovative e-environment for King's. A key component of the Connected Campus is the development of a research infrastructure that will provide for the effective curation and preservation of College digital assets, including research data. This project will enable King's to undertake a systematic and thorough audit of the research data produced by its faculty members, and to understand the requirements for its effective curation and long-term preservation to assist with this process. There is, therefore, significant support for this project by the senior management of the College.

King's will provide an ideal environment for a pilot implementation of the DAF. It is a research intensive university with over 19,500 students. There are nine Schools of Study, which offer around 200 undergraduate programmes, over 230 postgraduate taught programmes and an extensive range of research opportunities. The Schools cover a wide range of discipline areas including biomedical and health sciences, dentistry, humanities, psychiatry, law, medicine, nursing and midwifery, physical sciences and engineering, social science and public policy. As such it generates a significant volume of research data across a wide range of disciplines with varying degrees of complexity ranging from complex humanities data, detailed environmental monitoring data, through to genetic samples collected by the Institute of Psychiatry as part of one of the largest and longest running studies of twins.

Management of that data has traditionally been undertaken at a local level using a variety of different systems and technologies. The King's audit will therefore test the robustness of the Data Audit Framework to the full, providing valuable feedback during the refinement process.

We propose selecting a representative spread of discipline areas that would ensure testing the DAF on a range of data covering the natural, life and social sciences, the humanities, and interdisciplinary work. Research data would be selected for audit that, in the judgement of the

project team in collaboration with the domain experts, should be effectively managed and preserved for the future.

2.1 Expertise and Input

The team proposed for this Project brings together significant expertise from the Archives and Information Management (AIM) division in records management and legal compliance; and from the Centre for e-Research in data curation, management and preservation.

AIM provides life cycle and legal compliance advice on all aspects of institutional information however held. This is on demand and is on-going for institutional records. But the scale of demand, staffing and speed of change mean that the picture is far less clear for electronic research data than hardcopy research records. A commercial model is under development for the housing of semi-current research records in hard copy, and AIM is also developing a research governance framework.

The Centre for e-Research (CeRch) incorporates the AHDS Executive. Over the last eleven years, the AHDS Executive has developed significant expertise in the creation, curation, preservation and dissemination of complex research data, including images, video, audio, geo-spatial, databases, text, statistical data and so on. This includes detailed knowledge of the policies, practices and systems needed to manage complex research data for the long term. That expertise is to be retained with CeRch when funding for the AHDS ceases in April 2008.

Between them the project partners have excellent links with the schools, academic departments and research groups within King's. These links would ensure cooperation from departments and academics during the pilot, and their input into selecting research data for inclusion in the audit process.

The combination of records and information management expertise with detailed understanding of research data curation and preservation requirements provided by the Project team would enable it to:

- Provide meaningful input and feedback to the team creating the data audit framework
- Develop practical methods and contingency plans for undertaking this work
- Secure buy-in from academic staff and departments
- Cover data from the full range of disciplines
- Develop the professional skills of staff to include experience of using the DAF who are able to share that experience

Moreover, the Project team would bring extensive experience of creating case studies and guides to good practice. The AHDS Guides to Good Practice series is widely recognised as excellent: the series is the most viewed and downloaded of all the advice offered by the AHDS, closely followed by the shorter, more focused Information Papers and Preservation Handbooks. This expertise will be used to ensure that the

2.2 Working with the JISC Community

The Project team are well connected within the JISC community with close links across the UK HE libraries and archives. For example, the CeRch is the lead partner in the SHERPA DP and SHERPA DP2 projects with Stephen Grace leading both projects and Gareth Knight the researcher for both projects. CeRch is a member of the DPC, and Sheila Anderson, Director of CeRch is a member of the editorial board for the Digital Preservation Journal of the DCC. In addition, CeRch has extensive contacts within the academic world, frequently giving papers and lectures relating to the creation, methodologies of use, and curation of research data.

Within the Archives and records management realm AIM is recognised as having extensive expertise in all areas of records management and legal compliance. Patricia Methven as Chair of the HEFCE NFF commissioned the first model HE Records Disposition Schedule and undertook the first worked example at King's. She also led the pilot testing of the JISC FOI Model Publication Scheme and co wrote the HEFC circulated guidance records management with regard to FOI. Patricia has taught and acted as external examiner at UCL, Liverpool and

Aberystwyth. The Records Management team speak at conferences and workshops in both higher education and commercial setting.

The Project team will use these contacts to promote their work and to contribute to the overall promotion of the Data Audit Framework. They will also use their extensive international contacts to promote the work within Europe and North America in particular. The Project team undertake to promote the DAF, in collaboration with the DAF Project Team and others, via Conference and published papers.

3. Work Plan and Deliverables

3.1 Project Management and Liaison

This work package includes all project management and liaison activities including:

- Initial planning and liaison with the Data Audit Framework Team
- Monitoring and reporting
- Participation in programme activities, and liaison with the Steering Committee, JISC and others as required
- Assessment of risks and opportunities as the project progresses
- Project advocacy and dissemination of the outputs

A key component will be ongoing liaison with the DAF Team to ensure the project timetables are synchronised.

This activity will be on-going throughout the Project.

3.2 Preparatory Work

The preparatory phase will take place during the first three months of the project and will include the following activities:

- Feedback and input to the DAF Team as they develop the DAF
- Establishing contacts with selected departments and academic owners of research data to ensure their participation in the data audit, including establishing the timetable for the audit. At this stage, we envisage working with the following departments: biomedical and health science; geography, humanities, engineering and war studies.
- Developing the implementation methodology and related contingency plans for use during the test phase, including a process for selecting research data to be audited. Initial selection of research data for the audit process will take place during this phase
- Testing the DAF with a small sample of research data. This will include using the testing phase to refine and improve the implementation methodology as necessary
- Providing feedback to the DAF team to enable refinement of the Framework
- Developing and agreeing an outline for the case study
- Document chosen methodologies, policies and practices arising during the preparatory phase

3.3 Implementation and Population of the Central Resource

This work follows on from the preparatory phase, and is likely to take place from months 3/4-6, subject to any changes agreed with the DAF team. It will:

- Implement the DAF across the selected disciplines
- Capture the information in an appropriate form for use within King's: this may require additional technical input to design and construct a database (or to adapt an existing repository that would eventually hold research data for preservation and access) and input interface. The costs of any such development will be met by King's
- Export (or make available for harvesting) to the designated central resource the outputs collected during the implementation, subject to any legal, confidentiality or ethical issues as may arise
- Provide feedback to the DAF team on practical issues encountered during the full implementation phase
- Document fully the implementation phase, including problems and solutions

3.4 Documenting the Process

The final work package will take place in month six. It will pull together the detailed documentation that will be captured throughout the Project and edit it into a detailed case study that will offer guidance to others who may wish to implement the DAF. The case study will outline the methodology used, the workflow developed, and will highlight potential trouble spots and possible solutions. The form and content of the case study will be agreed during the early stage of the preparatory phase in order that the necessary information can be gathered during the course of the Project.

4. User Engagement

The Project has identified three primary stakeholder groups:

- The Project Team creating the Data Audit Framework and the institutions implementing the framework
- Internal stakeholders in ISS and King's academic departments
- The wider HE community

The project team will collaborate throughout the lifetime of the Project with the developers of the Data Audit Framework and the other projects selected to undertake the pilot implementation to provide feedback. This will take the form of providing input into the development of the Framework, feedback during the implementation phase to assist in its refinement, and documenting the King's implementation in such a way as to offer guidance to others.

The Project is a collaboration across the Archives and Information Management division and the Centre for e-Research, all based within ISS, with support from the Customer Services Team. Between them, the staff have excellent links with academic departments that will ensure buy-in to assist with the Project. It is an identified need to more effectively manage research data within many departments at King's, and the departments chosen to take part in the pilot implementation are among these. The Project will contact the departments at an early stage to ensure their cooperation and to establish the methodology by which the Framework will be implemented and tested.

The final group of users is the wider higher education community, most particularly in the UK, but also in Europe and elsewhere. The Project will cooperate with the Data Audit Framework team to publicise and promote the findings of the pilot, including the case study documentation. In addition, we will promote the Framework Tool across partners in two European projects: DARIAH and CLARIN. These two projects, recently funded through FP7, are working to create research infrastructures across Europe for the humanities and arts, and the language and linguistics communities. A core component for both projects is to provide information about and access to research data across Europe. CeRch will work with its European partners to assess the usability of the Data Audit Framework by the DAIRAH and CLARIN partners.

5. Risk Assessment

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
Staffing problems: project staff leave	2	3	6	The staff working on this project are all full-time permanent members of staff who are unlikely to leave during the duration of this short project. In the event that one or more should leave, other members of staff working in AIM or CeRch will replace them
Lack of College-wide buy-in from academic departments and schools	2	5	10	The project will build on work already undertaken as part of the Connected Campus work, and everyday work with departments. Departments will be contacted at an early stage to ensure their buy-in and cooperation during the

Nature of Institutional Contributions

Directly Incurred Staff				
Post, Grade & % FTE	£	£		£
Directly Incurred Non Staff				
Hardware/Software etc.	£	£		£
Directly Allocated				
Staff, Estates etc.	£	£		£
Indirect Costs				

7. Project Team

The Project team will comprise four members of staff:

Stephen Grace will lead the project and be responsible for the overall project management. He will also act as the primary liaison point with the DAF Project Team. Stephen is the Preservation Manager for CeRch and has extensive knowledge and experience of complex research data. He also leads the SHERPA DP Project.

Janine Bancroft will lead on all aspects of records management and legal compliance including building on existing information networks for information management. Project communications in relation to the Connected Campus will be undertaken in conjunction with Gary Horrocks from ISS Customer Services Division. Janine is a qualified and experienced archivist and records manager in charge of all accessioning and liaison with King's academic and administrative departments.

Gareth Knight and Malcolm Polfreman will undertake the implementation phase of the project in collaboration with Janine Bancroft. Gareth Knight is the Ingest and Preservation Officer at CeRch and has extensive experience in managing research data. Malcolm Polfreman is the CeRch Information Specialist and has extensive knowledge of cataloguing complex research data, including the use of appropriate metadata standards.

The team will work together to develop the methodology to be employed, the documentation to be gathered during the preparatory and implementation phases, and the final case study. Stephen Grace will take responsibility of the final edit and production of the detailed case study.

¹ If the institutional contributions include a contribution towards the direct costs of the project please complete a table along the lines of the example overleaf

The Project will be overseen by a small steering group comprising Sheila Anderson, Director of CeRch; Patricia Methven, Deputy Director ISS and Director of AIM; Jan Booth, Deputy Director, Archives and Information Management; Gary Horrocks, Deputy Director of Customer Services (Research & Learning Liaison). The Steering Committee will meet once a month during the project to discuss progress, provide expert input and advice, and to ensure that the Project achieves its aims.

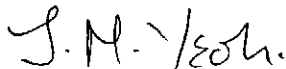
14 January 2008

To whom it may concern,

Re: Pilot and Exemplar Implementation of the Data Audit Framework (Short title: KCL PI-DAF)

I write to confirm, on behalf of King's College London, our full support for the proposal submitted by King's College London entitled 'KCL PI-DAF', under the JISC Circular 5/07: Call for Projects in Digital Repositories; Part B: Pilot and Exemplar Implementations of the Data Audit Framework.

Yours sincerely,



Jean Yeoh
Acting Director ISS & Director of Corporate Services
Information Services and Systems
King's College London