



## JISC Project Plan – Customised for Repository Start-Up

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## **Overview of Project**

### **1. Background**

A significant number of Institutions within the JISC community have already developed institutional repositories over longer periods of time and in a more organic way. Equally, several Schools and Departments within the University had begun to develop subject based repositories. The development of a comprehensive and coherent IR at Reading has been championed at senior level by the Pro-Vice-Chancellor (Research), who has already secured significant funding from senior management for the project. It will be undertaken in a cost effective way through central coordination and it will be sustained through the provision of consistent advice and support. It will aim to enhance significantly the profile of the University.

The timescale, though not the entire rationale, for the creation and initial population of the IR is being driven primarily by the need to meet the demands of the forthcoming Research Excellence Framework. Although the precise requirements of the REF have yet to be determined, national policy makers have consistently advised that, to a greater or lesser extent, the methodology will make use of metrics such as citation rates for research publications. In line with this, it has been decided that, with regard to its position within the University structure, the IR will be located within the Planning Support Office, which holds central administrative responsibility for a number of areas of research administration, most notably the Research Assessment Exercise (RAE) and the development of systems for the REF. Other major contributors to the project, such as staff from University Library and IT Services, are also based within the Academic Services Directorate.

While the HEFCE will, during the first phase of the IR project (2009), be in the process of conducting a pilot exercise in order to help assess the likely effectiveness of the various metrics that could be used in the REF, it is already clear that it will be important for the University to develop a comprehensive system by which it can manage its digital assets, to a shorter timescale than might otherwise have been demanded by the academic body for other purposes.

### **2. Aims and Objectives**

The project aims to facilitate the creation and population of an Institutional Repository for the entire University, which will serve as an essential part of the University's system for managing submissions to the forthcoming Research Excellence Framework and will bring significant benefits in terms of increased impact and visibility for its research. Throughout the start up project, staff time will be

divided between the development of the IR and related systems and the significant task of driving rapid cultural change, through advocacy and training.

### 3. Overall Approach

The work of the building and populating the Institutional Repository will be undertaken in a phased way, as set out in detail in the workpackages attached to this document. Broadly, the building of the repository will be undertaken between April and July 2009, with workflows tested following this work.

The population of the IR will take place in two phases; the first will cover publications in the Sciences and Life Sciences Faculties, whereas the second will cover publications in the University's other faculties. The range of content that will be covered in the initial scope of the project will include refereed journal articles, refereed conference proceedings, authored books, chapters, edited books and metadata and abstracts for PhD theses. For all types of publication, with the exception of PhD theses, the IR will contain full metadata (for publications since 2003), abstract and the entirety of text, where permissible by copyright. The capacity of the IR with regard to the digital management of and access to PhD Theses will be considered in parallel to national developments in the e-thesis environment, most notably the British Library's EThOS project.

A critical factor in the success of the Repository will be ensuring that staff in the University's Academic Schools are engaged and properly trained to make deposits, as well as understanding the value of the resource to the dissemination and visibility of their research outputs. The project plan has allowed for significant advocacy and training work, to be undertaken by the Repository Manager, as part of the University's comprehensive staff training and development calendar.

Another critical factor for the success of the Repository will be the fitness for purpose of this resource to meet the requirements of the Research Excellence Framework. The location of the IR within the University's Planning Support Office, members of which will manage the University's submissions to the REF, will ensure that these requirements, as they develop, can be taken fully into consideration.

### 4. Project Outputs

The Project will have the following tangible deliverables:

- Induction and training of Repository Assistant, to assist the development of the Repository to planned timescale
- Establishment of an embedded, sustainable workflow for the management of the IR, to maintain its efficacy and ensure that user and stakeholder needs are considered at regular intervals
- Documentation to support the use of the IR beyond the development period
- Establishment of a fully functioning IR, embedded within University procedures and structures (including sustainable staffing levels) in order to fulfil the University's needs in relation to the management of its digital assets and with particular regard to the management of data for the forthcoming REF
- Development of a mechanism by which the University's Annual Publications List, currently collected in EndNote libraries, can be generated through metadata in the IR
- Migration of historical metadata: adjacent to the work it will be undertaking to store all its publications in an IR from 2010 onwards, the University will also be outsourcing (to the EPrints service) the task of migrating metadata since 2003 from its Annual publications lists. The metadata surrounding these publications will be subject to quality verification and enhancement as part of the project
- Improved access to and visibility of University research outputs (journal articles, conference papers, etc.) for the benefit of the wider research community and to increase impact (as measured by bibliometrics)

It is also intended that the experience of developing the Repository with the needs of the Research Excellence Framework in mind will be shared with the wider community, through initial dissemination and through open access documentary evidence about the project.

## 5. Project Outcomes

The key outcome of the project will be increased visibility of and access to the University's research outputs. The University has demonstrated its commitment to the long term use of its IR, which will go beyond the immediate requirements for the REF, by establishing the permanent, centrally funded post of Repository Manager. It has also invested in the necessary infrastructure, as well as the support packages that will be required to maintain it. The University's senior management has devoted, and will continue to contribute, significant amounts of time and visible backing in helping to ensure the project develops with the support of the end users, including those who will be tasked with making deposits.

Significant cross domain stakeholder involvement via the primary mechanism of the Steering Group for the IR will prove to be a benefit in ensuring the project meets the needs of users within the community. Furthermore, it is the University's intention that, beyond the start up period, the scope of institutional repository development within the Institution should be widened to satisfy a broader range of needs; consideration will be given to the deposition of research data and materials, digital collections and learning materials and the capture of documents relevant to the institutional records such as Committee papers.

The impact of this will be on the University itself, as well as significant benefit to the international research community. The creation of the IR, in parallel with the development of links with research administration systems for the REF and the related policies and procedures, will be documented for future reference. Good practice and lessons learnt will be identified and highlighted, especially where the project's methods for advocacy to a wide range of disciplines result in demonstrable shift in culture; this will be of use to institutions seeking to establish similar systems to manage their digital materials better. The JISC community will also gain significant benefit from improved, open access to University research publications, which will enhance the value of their own research.

## 6. Stakeholder Analysis

Stakeholder	Interest / stake	Importance
Pro-Vice-Chancellor (Research) and other Senior Management	Ensuring that the University's profile for research is enhanced by the development of the repository, particularly with regard to a possible increase in citations of University material. A means of a) attracting new researchers to the university and b) promoting collaboration with and across the University.	High
Research managers	A complete record of the University's research output for research assessment	Medium
Research Staff (Authors)	Systematic management and preservation of research outputs, with improved access to internal and external audience. The potential for enhanced prestige.	High
Research Students	A research resource providing early access to research prior to publication and access to non subscribed outputs. Improved access to theses and the potential for enhanced prestige.	Medium
School administrators	Improved coordination of the management of	Low

	School research assets and material	
Library staff	A research resource that complements existing bibliographic databases and subscriptions and is consistent with the developing EThOS project. Raised profile within the University through advocacy work and embedding of the IR within the University's research management systems. Higher profile within the University's scholarly communications processes.	Medium
JISC	Access to project outputs in terms of systems and workflows developed. Widening of access	Medium
Wider academic community and the public	Improved access to the research outputs of the University	Medium
Publishers	Increased profile due to improved access to publications.	Low
Research Funders	Open access to publicly funded research, improving the accountability for use of public funds and enabling dissemination of research outputs to a wide audience	Medium

## 7. Risk Analysis

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
Loss of key project staff	1	5	5	<ul style="list-style-type: none"> <li>Repository Manager to document the procedures related to the IR as an aid to continuity in the event of any staff changes</li> <li>Development of other staff to obtain or maintain the necessary skills for editing the individual deposits</li> <li>Steering Group to oversee the project and support the key staff on an ongoing basis</li> </ul>
Inability to recruit or find resource for staff required for delivery	3	3	9	Ensuring, through ongoing management oversight, an appropriate level of overlap between key IR staff and other staff within the Planning Support Office and the wider Academic Services Directorate, which includes within its managerial structure IT Services and the University Library.
Significantly greater time required to 'validate' deposits than anticipated in original staffing model	3	2	6	<ul style="list-style-type: none"> <li>Prioritising and regulating the workflow to maintain a suitable balance between quality control of entries and timely visibility</li> </ul>
Significantly greater time required to train staff in Schools / foster culture of	3	2	6	<ul style="list-style-type: none"> <li>Proper management of expectations in Schools</li> </ul>

use (due to resistance or the scale of the task)				
Significant shifts in the demands placed on the IR by the REF.	1	3	3	Ensuring from an early stage that the scope of the content covered by IR is sufficiently broad to accommodate the demands of the REF
Loss of formal technical support for EPrints platform, as a result of any pressures on business model or associated economic difficulties for the host company	2	3	6	Keeping a watching brief on developments within the sector, with particular regard to similar institutions and take up of alternative software to EPrints

## 8. Standards

Name of standard or specification	Version	Notes
<b>Document formats</b>		
PDF		Preferred format for ePrints
Other Binary Text Documents: Doc, RTF, PowerPoint (PPT), Excel (XLS)		Alternate EPrint formats NB CSV files rather than Excel will be the preferred data format.
XML	1.0	
Plain text documents: ASCII, Unicode		
<b>Web Standards</b>		
XHTML	1.0 Transitional	Output of the ePrints application itself
HTML	4.01 preferred	Documents uploaded to the repository
REST		
CSS	2	
XML standards: XML(possibly also schemas, namespaces)		Used for RSS and OAI-PMH interface
<b>Internet Transport Standards</b>		
HTTP	1.1 ?	
HTTPS (using SSL?)	SSL 3?	
<b>Metadata Harvesting Standards</b>		
OAI -PMH	2.0	
<b>Alerting Standards</b>		
RSS	1.0, 2.0	
Atom		
<b>Identifier Standards</b>		
URI		
DOI, OpenURL?		
<b>Character Encoding Standards</b>		
UTF-8		
<b>Metadata Standards</b>		
Dublin Core, OAI DC?		
<b>Image Standards</b>		
Raster: GIF, JPEG, PNG, TIFF, BMP		

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Vector Image Standards: SVG, Flash		
<b>Multimedia Standards</b>		
Audiovisual standards: AVI, MPEG-2, MPEG-4		
Audio Standards: MP3, AAC, OGG, Flac, WMA		
Video Standards: MPEG, H.264		
<b>File Archive standards</b>		
BZ2,TGZ,ZIP	ZIP and TGZ preferred as clients for these most widespread	The JISC standards catalogue doesn't appear to cover these.
<b>Programming Standards</b>		
Perl		
Javascript		

## 9. Technical Development

The project has been designed to lead to the development of an IR that has a sound technological platform. During the pilot project, undertaken in 2006-07, the open source software, EPrints v3 was used as the platform; this software was assessed by depositors and editors in terms of its usability and was considered to be satisfactory.

The EPrints repository software was developed by the University of Southampton. As at summer 2008, this software was used by approximately 36 other UK universities as a platform for their own IRs. There exists free advice on the software on EPrints discussions lists and wiki. Moreover, training courses are available, at commercial rates, from the developers.

## 10. Intellectual Property Rights

Regarding the intellectual property rights of the authors of materials that will be deposited in the repository, work during the pilot project indicated that copyright and legal issues were manageable for standard published research. Given that mandatory deposition will be embedded in the University's procedures for research administration, the project team will have a key role in ensuring that users are aware of their own rights and obligations in regard to intellectual property. Training and documentation related to copyright will also be provided to staff during the start-up period; this will apprise them of their rights and obligations. The project will also involve the development of clear policies on content and use, as well as robust procedures to cover any perceived breach.

## *Project Resources*

### 11. Project Partners

None

### 12. Project Management

Overall project management will be provided by the **Repository Manager**, Mrs Alison Sutton ([a.m.sutton@reading.ac.uk](mailto:a.m.sutton@reading.ac.uk)), whose post is dedicated exclusively to the project. She will be assisted

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by and provide management of a part time **Repository Assistant**, (yet to be appointed) whose time will also be dedicated to the project.

Both members of staff will be based in the University's Planning Support Office, which incorporates members of staff with key responsibilities in respect of management information and provision of data for external sources. This includes Chris Robson ([c.robson@reading.ac.uk](mailto:c.robson@reading.ac.uk)) and Nathan Helsby ([n.e.helsby@reading.ac.uk](mailto:n.e.helsby@reading.ac.uk)), who will be involved in developing the Project website. The Repository Manager reports to the Director of Planning Support, Dee Pearce ([d.k.pearce@reading.ac.uk](mailto:d.k.pearce@reading.ac.uk)). During the development period (2009-2010), the Project will be overseen by the Institutional Repository Steering Group, which is comprised of senior academic representatives from a spread of disciplines and representatives of the University's IT Services and Library services. Rose-Ann Movsovic (Collections Manager, Reading University Library) will provide Metadata Standards Support. Peter Barnes (VLE and Web Support Officer, IT Services, University of Reading) will provide Repository IT Support. Ian Sainsbury (Liaison Librarian for Law and Politics, Reading University Library), will provide Copyright Advice

External training in regard to the EPrints software platform will be needed for the Repository Manager.

### 13. Programme Support

No particular areas of required support have been identified at this stage.

### 14. Budget

The project budget is attached at Annex A. The changes that have been made since the bid was submitted are:

- a) a reduction (by around 6K) in the estimated cost of staffing, following the outcomes of a role analysis exercise for the two posts
- b) a change in the way that spend on Hardware/Software will be distributed throughout the two phases of the JISC funded section of the project.

## *Detailed Project Planning*

### 15. Workpackages

Details of the workpackages involved in the project are attached at Annex B.

### 16. Evaluation Plan

Timing	Factor to Evaluate	Questions to Address	Method(s)	Measure of Success
July 2009	Achievement of repository build	Is the functionality of the repository satisfactory?	Testing with users	Input to and retrieval from the repository can both be completed successfully.
To October 2010	Population of the repository (to phased timescale)	Is the rate of deposit for Schools satisfactory? Is the training / guidance available to schools at the correct level?	Audit	Achievement of full population to the phased timescale set out for the start-up project
October 2009	Effectiveness of workflow	Is the flow of metadata, from deposition to public accessibility, efficient?	Testing	Input to and retrieval from the repository can both be completed to an efficient timescale.

## 17. Quality Plan

<b>Output</b>					
<b>Competency of repository assistant</b>					
<b>Timing</b>	<b>Quality criteria</b>	<b>QA method(s)</b>	<b>Evidence of compliance</b>	<b>Quality responsibilities</b>	<b>Quality tools (if applicable)</b>
July – Sept 2009	Satisfactory match between appointee and specified competencies	Probationary review of competencies	Successful completion of review of competencies	Repository Manager	Probationary system (with Staff development review at a later stage)

<b>Output</b>					
<b>Establishment of effective workflows for ingestion</b>					
<b>Timing</b>	<b>Quality criteria</b>	<b>QA method(s)</b>	<b>Evidence of compliance</b>	<b>Quality responsibilities</b>	<b>Quality tools (if applicable)</b>
June – Sept 09	Fitness for purpose	User testing	1) Successful and efficient deposit by members of Academic Schools. 2) Record of problems and resolutions	Repository Manager	1) Termly reports on School Deposit activity. 2) Monthly management reports monitoring flow of deposits from 'review' to 'live' status.

<b>Output</b>					
<b>Demonstrable engagement of key stakeholders</b>					
<b>Timing</b>	<b>Quality criteria</b>	<b>QA method(s)</b>	<b>Evidence of compliance</b>	<b>Quality responsibilities</b>	<b>Quality tools (if applicable)</b>
Termly	Accessibility	a) Record of follow-up enquiries and resolutions. b) Termly report of School/Departmental meetings attended / scheduled.	a) Reports of attendance for training courses delivered. b) Report of meetings attended	Repository Manager	a) Reports and records of meetings and follow-up. b) Evaluation of presentations.

<b>Output</b>					
<b>Production of training materials and process documentation</b>					
<b>Timing</b>	<b>Quality criteria</b>	<b>QA method(s)</b>	<b>Evidence of compliance</b>	<b>Quality responsibilities</b>	<b>Quality tools (if applicable)</b>
May – Oct 2009	Usability	a) Feedback from users. b) recipients of reports	Reduction in time required to handle queries	Repository Manager	Termly reports on advocacy and training

<b>Output</b>					
<b>Building and population of an effective, visible repository for the University</b>					
<b>Timing</b>	<b>Quality criteria</b>	<b>QA method(s)</b>	<b>Evidence of compliance</b>	<b>Quality responsibilities</b>	<b>Quality tools (if applicable)</b>
July 2009 to Sept 2010	a) Fitness for purpose. b) Visibility.	a) Quality verification process (verification of deposits) b) Monitoring of visibility	Existence of fully functional repository	Repository Manager	(for monitoring visibility) Assessment of access via weblogs, etc

Output	Migration of metadata for legacy publications				
Timing	Quality criteria	QA method(s)	Evidence of compliance	Quality responsibilities	Quality tools (if applicable)
July 09 to Sept 10	Accessibility	Quality verification process	Legacy metadata stored in repository	Repository Assistant	Data cleansing

## 18. Dissemination Plan

*The following is chart of dissemination activities currently planned. It is envisaged that this further dissemination opportunities will be added during the course of the project.*

Timing	Dissemination Activity	Audience	Purpose	Key Message
June 2009	Presentation to conference on the Research Excellence Framework (Kings College / HEFCE)	The UK HE community (research administration in particular)	To raise awareness and promote project outputs	The development of the repository at the University is being informed by the requirements of the REF.
June 2009	Launch of project web presence	Internal / JISC development programmes	To raise awareness, inform and promote	The development of the repository is working to a particular timescale and has been part-funded by JISC to help support this timescale
October 2009	Six-monthly reports on the project	Internal / JISC development programmes	To raise awareness and promote project outputs	Progress as against project plan

## 19. Exit and Sustainability Plans

Project Outputs	Action for Take-up & Embedding	Action for Exit
Setup and population of repository (disciplines as scheduled within the timescale for JISC funding, rather than wider University timescale for the repository)	Programme of advocacy and training for Schools.  Documentation of the process and procedures required to enshrine and therefore preserve knowledge and learning from the start up project.	The University has committed funding to sustain the repository beyond the period of the start-up project funded by JISC

Project Outputs	Why Sustainable	Scenarios for Taking Forward	Issues to Address
Working, populated institutional repository	Top level support (including financial commitment) from Senior Management,	The University has already committed to integrating the Institutional Repository within its policy and	Ongoing efficacy of the repository and the supporting workflows

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	including financial commitment	systems for the management of its research publications	Adequate staffing levels to allow post-startup support for Academic Schools  Extent to which academics remain engaged with use of the repository
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## ***Appendixes***

### **Appendix A. Project Budget**

### **Appendix B. Workpackages**