AIDA and Benchmarking Institutional Progress

Ed Pinsent, ULCC

3rd November 2010

What AIDA is

- AIDA = Assessing Institutional Digital Assets
- Maturity model
- Self-assessment
- Assesses the *Institution* and the *Department*
  - Not the data, file formats, software or technology
- Looks at Organisation, Technology and Resources
- Gets you to do the work
- Shows strengths and weaknesses
- Examines many areas

University of London Computer Centre

Progress

- Jan 2010: interest and support from Southampton Blueprint
- March 2010: Assessment of Digital Assets > **Benchmarking Tool for Research Data**
- April 2010: developed reworked version
- May 2010: JISC MRD Workshop
- June 2010: feedback from Blueprint
- October 2010: feedback from Sudamih

University of London Computer Centre

Contents of AIDA

Data Management components

1. Information derived from the Blueprint questionnaires
2. Feedback / notes from IDMP Workshop
3. Copy of the BBSRC Data Sharing Policy
4. Original AIDA elements (recast and rethought as needed)

Digital preservation components

1. *Trustworthy Repositories Audit and Certification (TRAC): Criteria and Checklist*
2. The Cornell University *Survey of Institutional Readiness*
3. Summary of RLG-OCLC Framework Component Characteristics
4. Network of Expertise in long-term STORage (NESTOR)

University of London Computer Centre

Five Stages

Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Institution				
Acknowledge / No Action	Act / Localised	Consolidate / Co-operate	Institutionalise / Integrate	Externalise / Embed
Department / School / Research Group / Project				
Acknowledge / No Action	Act / Localised	Consolidate / Co-operate	Unify Department / Internal Integration	Externalise / Embed

University of London Computer Centre

Additional descriptors

STAGE	1	2	3	4	5
Degree of confidence	Very low confidence	Some confidence	Medium confidence	High confidence	Very high confidence
Degree of Institutional Commitment	Zero	Low	Medium	High	High + External
Numerical rule	None	One department	Three departments	Entire Institution	Entire Institution + External collaboration

University of London Computer Centre

Stage 1 ACKNOWLEDGE / NO ACTION	**Stage 2** ACT / LOCALISED	**Stage 3** CONSOLIDATE / CO-OPERATE	**Stage 4** INSTITUTIONALISE / INTEGRATE	**Stage 5** EXTERNALISE / EMBED

University of London
Computer Centre

Tick boxes

ORG 02: Policies and procedures	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
The Institution has specific policies and procedures for management of research data (e.g. a Data Management Plan)					
The Institution has written policies and procedures for preservation of research data					
The Institution has written policies and procedures for data sharing					
There is widespread understanding about how to manage research data now and in the future					
The Institution has written guidelines to interpret the policies					
The policies and procedures have been implemented by senior Institutional staff					
The policies and procedures are published and made available					
The policies and procedures are followed					
The policies and procedures are integrated with each other					
The policies and procedures relate to the Institution's research data in a meaningful way					
Departments following the policy will include statements about data sharing when applying for a research grant					

University of London Computer Centre

Feedback from Blueprint

University-level AIDA

As agreed, to evaluate the tool put initials at the top of a column and mark questions as X (unimportant) or * (important) for the purposes of gap analysis etc.

RES 01: Financial sustainability plan										
The Institution has a long-term business plan and can account for research data funding	x	X	X	X	x	X	X	X	x	X
The Institutional business plan supports the sustainability of core research data	*	*	*	*	*	*	*	X	*	*
The Institution generates income through its research data	x	X	X	X	x	x	X	X	x	X
Business partnerships and external agreements help to support the sustainability of research	*	*	*	*	*	*	*	X	*	*

University of London Computer Centre

Feedback from Sudamih

- Who could answer the AIDA questions?
  - Blue: Research Department
  - Green: IT infrastructure planners
  - Red: Researchers across the university as a whole
  - Black: Uncertain

- Estimate that roughly a quarter of the statements fall into the red category

University of London Computer Centre

Thoughts from Sudamih

- Would require an enormous amount of work
- Organisation and Technology legs could probably be discovered by talking to a relatively small number of people
- Resources leg would require a widespread survey of researchers

Interpreting AIDA

	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
ORG 04: Sharing of Research Data	*				
ORG 04: Sharing of Research Data				*	
TECH 03: Ensuring availability and integrity			*		
TECH 03: Ensuring availability and integrity			*		
TECH 11: Institutional Repository	*				
TECH 11: Institutional Repository		*			
RES 08: Staff numbers	*				
RES 08: Staff numbers	*				

Benefits

- Provides an overview of data management needs and priorities
- Shows Institutional strengths and weaknesses
- Evidence to help make a business case
- Target and identify specific areas that need investment
- Reassurance (and see PAS model)

University of London Computer Centre

Costs

- AIDA indicates areas that are underfunded and also those that are overfunded
- May enable more targeted spending
- Undertaking an AIDA assessment may be an additional cost!

Sustainability 1

ORG 05: Preservation and Continuity of Research Data	
There is Institutional commitment to the long-term continued availability of research data	4
Formal successor arrangements exist for research data (when members of staff leave)	
There is consistent Institutional advice on preservation requirements	4
There is consistent Institutional advice on how long the research data should be retained after its immediate use has ended, or on completion of the research	
The Institutional advice on preservation, continuity and retention is published and widely available	1
Formal contingency plans exist for research data	
The Institution allows or encourages the use of external services for deposit / preservation	
There is widespread confidence that Institutional research data is protected	

University of London Computer Centre

Sustainability 2

RES 06: Sustainability of funding for research data	
The Institution is confident there will be enough money to keep its research data safe	2
Funding of research projects is inbuilt to the core functions of the Institution	
Sustainable funding is in place dedicated for the maintenance, storage, and preservation of research data	
There are dedicated funds available for technology development	
There are dedicated funds available for technology upgrades	4
There are dedicated funds available for technology replacement	
The Institution is actively seeking further potential funding sources for research data management	

University of London Computer Centre

Next steps…

- Get more feedback on content
- Eliminate irrelevant questions
- Simplify
- AIDA structure will feed into IDMP Tool

University of London Computer Centre

Links / contact

- AIDA website http://aida.jiscinvolve.org/
- New toolkit: http://aida.jiscinvolve.org/wp/2010/09/29/adapted-aida-for-idmp/
- Toolkit on Google Docs: http://aida.jiscinvolve.org/wp/2010/09/30/adapted-aida-on-google-docs/
- Ed Pinsent e.pinsent@ulcc.ac.uk

University of London Computer Centre