


Cover Sheet for Proposals <i>(Please complete ALL sections)</i>	 JISC Research Information Management Grant Funding Opportunity 11/09	
Name of Call Area Bidding For (tick AT LEAST TWO):		
a. Collecting & deploying Evidence <input type="checkbox"/> b. Sharing good practice <input checked="" type="checkbox"/> c. Requirements specification <input type="checkbox"/> d. Improving interoperability <input checked="" type="checkbox"/>		
Name of Lead Institution:	University of Glasgow	
Name of Proposed Project:	Enquire (Enrich and Research Outputs and Impact)	
Name(s) of Project Partner(s):	N/A	
Full Contact Details for Primary Contact:		
Name:	Valerie McCutcheon	Position: Operations Manager (Research & Enterprise)
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Tel:	0141 330 2674	Fax: 0141 330 3218
Address:	10 The Square, University of Glasgow, G12 8QQ	
Length of Project:	6 Months	
Project Start Date:	1 March 2010	Project End Date: 31 August 2010
Total Funding Requested from JISC:	£ 35,000	
Funding Broken Down over Financial Years (August – July):		
£ 31,091	£ 3,909	
Total Institutional Contributions:	£ 87,228	
Outline Project Description:		
<p><i>Enquire</i> will focus on the role and use of Enlighten, the University of Glasgow's institutional repository, to record information about impact for a wide range of research outputs. This will be done with a particular focus on the requirements of the Research Councils UK (RCUK) and will build upon the work of the <i>Enrich</i> project (funded by JISC as part of the inf11 programme). <i>Enrich</i> is integrating funder data with research outputs and will embed links between the institutional repository and Research System. The benefits of <i>Enquire</i> will be demonstrated by a case study whose lessons can be shared with peer institutions.</p> <p>This is an innovative project, and is, we believe the first of its kind to address RCUK outputs requirements and to attempt to formalise the management of details (such as audience and impact) about research outputs that have not traditionally been part of core systems. It will build on a range of activities already in place, or planned, to support the output and impact agenda and contribute to a growing UK knowledge and expertise.</p>		
I have looked at the example FOI form at Appendix B and included an FOI form in the attached bid (Tick Box)	YES ✓	NO
I have read the Call and associated Terms and Conditions of Grant at Appendix D (Tick Box)	YES ✓	NO

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
5. Budget	s40	Contains salary information which, if disclosed could contravene the Data Protection Act (1988)

1. Appropriateness and Fit to Programme Objectives and Overall Value to the JISC Community

1. *Enquire* will focus on the role and use of Enlighten, the University of Glasgow's institutional repository, to record information about **impact** for a wide range of research outputs. This will be done with a particular focus on the requirements of the Research Councils UK (RCUK) and will build upon the work of the *Enrich* project (funded by JISC as part of the inf11 programme). *Enrich* is integrating funder data with research outputs and will embed links between the institutional repository and Research System. The benefits of *Enquire* will be demonstrated by a case study whose lessons can be shared with peer institutions.
 2. This project's objectives are to:
 - **Extend** the definitions and data gathered about research outputs in Enlighten using the draft RCUK requirements as a baseline¹ [Workpackage 2].
 - **Record** impact information about outputs in the repository. This data could include the type and scope of impact. This will enable us to maintain a more comprehensive repository and one which is aligned with both our own research needs and the requirements of our stakeholders [Workpackage 2].
 - **Test** research data output files that can be provided to RCUK and for institutional REF preparations with a view to having the infrastructure in place to deliver data files when required [Workpackage 2].
 - **Capture** the user needs of our depositors and stakeholders to enhance the system and reduce the burden on those submitting information. We will undertake an initial investigation into the possibility of removing any need for staff to enter data onto third party systems such as MRC e-Val or RCUK Research Outputs systems thereby reducing data quality issues that may arise from un-synchronised data sets [Workpackage 3].
 - **Investigate** whether elements of HEBICIS reporting can be delivered more robustly from the repository. We are not aware of any HEIs that have a central system for managing cultural engagement activity. We will report back to HESA on our findings [Workpackage 3].
 - **Share** our successes (and failures) with the sector to help peers deliver output and impact requirements [Workpackage 4].
 3. As demonstrated by the level of information sharing from previous JISC funded projects at Glasgow we will disseminate the findings of this work widely to the community. We will act as an institutional exemplar for the benefits of integration of processes and data between research information and repositories.
 4. *Enquire* is an innovative project, and is, we believe the first of its kind to address RCUK outputs requirements and attempt to formalise management of a range of details about research outputs that have not traditionally been part of core systems. It will build on a range of activities already in place, or planned, to support the output and impact agenda and contribute to a growing UK knowledge and expertise.²
- 1.1 Use Cases**
5. *Enquire* will focus on two key use cases for impact in this project for different roles: a research investigator and a database administrator. We will ensure that the system is user friendly and it is easy to provide data to those who require it.
- 1.1.1 Use Case 1**
6. Scenario: Record details of different types of outputs and impacts in the institutional repository. Actors: Research Investigator/ Database Administrator
 1. In the repository the User will select the type of output that they wish to record.
 2. The system will display a data entry screen listing RCUK questions associated with that type of output.
 3. The User will enter the details about the output.
 4. The submission will be sent for validation by administrators within the Library and Research and Enterprise.
 5. Relevant validated content will be made public.
- 1.1.2 Use Case 2**
7. Scenario: Provide details of outputs and their impact directly to Funders without any need for additional re-keying to other systems.
Actor: Administrator
 1. From the repository extract a suitably formatted file that contains relevant data for at least 3 of the research output types specified by RCUK.

¹ RCUK Outputs and Outcomes Collection Project, Output Types, Draft 0.2, 02 April 2009

² www.glasgow.ac.uk/bestpracticefundingapplications

2. Identify issues with the extract.
3. Send summary of findings to RCUK.
8. While *Enquire* is a single institution project proposal, staff at the University of Glasgow have strong relationships and partnerships both in Scotland and across the UK and will ensure that the work undertaken will have the widest impact and application. In addition to networking and informal presentations we have been consulted by interested parties about research outputs and impact. We have presented our work to date at a large number of conferences including EuroCRIS, ARMA, Berlin7 and Repository Fringe.
9. The University of Glasgow is also a partner in a complementary bid, which if funded will provide us with further opportunities to assist JISC and fulfil the overall aims of this call. The *CRISPool* project led by the University of St-Andrews proposes a pilot study bringing together information from different organisations using the CERIF data format.
10. The project will run for 6 months from the 1st of March 2010 until the 31st August 2010.

1.1 Background: Research System and Repository Work at Glasgow

11. The University of Glasgow has a mature and well established institutional repository service, Enlighten. We have been at the forefront of sustained work with institutional repositories in the United Kingdom since 2001. The University of Glasgow has made significant investments in the repository on an ongoing basis including key support at Vice-Principal (Research & Enterprise) level as well as additional funding for library staff to work with the repository. Enlighten is a “hybrid” repository with over 21,100 records for published research outputs. These are a mix of both full text and solely bibliographic records. In June 2008 the University Senate approved a publications policy requiring staff to deposit published and peer-reviewed journal articles, as well as content into Enlighten. The Institutional Repository is now regarded as a central and essential University System and will act as the University’s publications database.
12. The Research System Development and Maintenance programme has delivered significant enhancements to the research process to date. The University has had a data rich system for many years.
13. During 2009, JISC funded the *Enrich* project. This is focussed on the integration of funding data from our Research System and outcomes in the repository and will be completed by the end of March 2010. Many of the developments we have undertaken or are planning are common sector-wide issues and in many areas we are doing leading edge work.

1.2 Benefits and Value to the JISC Community

14. The Key benefits for the JISC community will include:
 - An institutional exemplar of an institutional repository that can be used as a comprehensive outputs management system and not merely a publication database (or open access repository).
 - A case study for management of the Research Outputs reporting requirements.
15. The University of Glasgow is willing to provide demonstrations of management tools in use by the institution. We will be responsive to third party queries and willing to share our experiences both with regards to managing research systems and to approaching recognised institutional problems.

2.0 Quality of Proposal and Robustness of Workplan

2.1 Project Work-packages and Management

2.1.1 WP1 Project Management

16. This workpackage will cover project management
17. The project will be managed by a Project Manager within Research and Enterprise and will consist of a number of related workpackages. Colleagues in the Library and across the University will support the Project Manager. During the project there will be consultation and close linkage with other projects and relevant University of Glasgow Committees such as the University’s Research and Planning and Strategy Committee, the Library Committee and Faculty Research Committees.
18. The Project Manager will oversee the Project on a day-to-day basis checking progress, regularly re-assessing the probability of potential risks, and ensuring action is taken if necessary. The Project Manager will co-ordinate communication between the various stakeholders.
19. The Project will be controlled by the production and monitoring of a project plan incorporating specified milestones for key deliverables. The key products will be reviewed and signed off by The Research System User Group. The User Group will represent a variety of stakeholder interests. The quality priorities considered would be: fitness for purpose in relation to functionality, performance, user friendliness, maintainability, security, timescale and clarity.

20. Deliverables: Project Plan, Final Report
Timescale: 1 March 2010 – 31 August 2010
Resources: Project Manager and Project Team

2.1.2 WP2: Research Outputs and Impact

21. This workpackage will address b) Sharing good practice and d) Improving interoperability. It will focus on the extension of data about existing output types, impact information and test export files for RCUK.
22. We will gather and synthesise requirements for outputs and impact reporting from a range of sources including the:
- Draft specification provided by the RCUK Research Outputs³ collection exercise for impact.
 - Data submitted to the MRC e-Val exercise⁴
23. We will also investigate how RCUK and HEBCIS output types might be mapped and coded within a system to facilitate data extraction.
24. We will add additional output types and generate test files (which include impact data) for RCUK and institutional REF reporting. These will be developed to inform our stakeholders and anticipate the necessary infrastructure required to deliver data files when needed.
25. It is anticipated that the extension of this functionality in Enlighten will be undertaken by EPrints Services (listed as “Other” in the Budget).
26. Work with other HEIs to test data exchange formats, for example, discussions with St. Andrews regarding testing a CERIF data set for research pools.
27. Apply lessons from previous work such as JISC EXCRI project into our planning.
28. Keep abreast of bespoke and commercial developments of research systems and observe the strengths and weaknesses of different approaches. In particular we have links with the Research Management and Administration System project and have discussed possibility of sharing our knowledge or amending our ideas to the benefit of the sector. We believe that the University of Glasgow has one of the (if not ‘the’) most comprehensive research management systems in the sector.
29. Key Deliverables:
- Extended output type definitions. The schema for these will be made freely available.
 - Test export file compliant with RCUK research output requirements.
30. Timescale: 1 April 2010 – 31 August 2010
Resources: Project Manager and Technical Staff (EPrints Services)

2.1.3 WP 3: Reviewing Research Support and Management

31. This workpackage will address b) Sharing good practice by identifying and commenting on key benefits and challenges in depositing and extracting information about outputs. This will be done through feedback from our depositors and end users of our data.
32. We will review and test the links and relationships between awards and outputs in the repository and the Research System.
33. Key Deliverables: Final report section on benefits and challenges
34. Timescale: 1 April 2010 – 31 August 2010
Resources: Project Manager

2.1.4 WP4: Community Engagement and Sustainability

35. This workpackage will address b) Sharing good practice. *Enquire* will provide us with an opportunity to continue to discuss and work with RCUK, MRC, HEFCE, HESA, RMAS and REF in this area.
36. We will Provide a blog space/discussion space for interested parties to discuss RCUK Research Outcomes Management
37. External dissemination will be achieved through the following means:
- Engagement with JISC at all stages of the Project from the outset and participate in various programme and other dissemination and evaluation activities.
 - Presentations to various stakeholder groups including ARMA and EuroCRIS.
 - Details of about the project and links to the projects outputs and deliverables will be made available via the existing *Enrich* project website⁵ and the Enlighten repository blog. This will include project reports and publications.
 - Peer-reviewed publications from the project will be deposited into Enlighten.
 - We will run two workshops to present and discuss our findings, successes, and failures.
38. Internal Dissemination will continue to be achieved through the following means:

³ <http://www.rcuk.ac.uk/aboutrcuk/efficiency/Researchoutcomes/default.htm>

⁴ <http://www.mrc.ac.uk/Achievementsimpact/Outputsoutcomes/e-Val/index.htm>

⁵ <http://www.gla.ac.uk/enrich>

- The Research System User Group The group consists primarily of administrators from academic units, and administrators from University Services.
- The Project Manager will co-ordinate communication between the various stakeholder groups within the University including academic colleagues.
- Representation on the RCUK Research Outputs Collection focus group and feedback to RCUK.

39. Key Deliverables: Website, Blog, Presentations, Two Workshops

40. Timescale: 1 March 2010 – 31 August 2010

Resources: Project Manager and Project Team

2.2 **Project Management**

41. The project will be managed by a project manager, details of the project management are given in Workpackage 1.

2.3 **Risks**

Risk	Probability (1-5)	Severity (1-5)	Score (PxS)	Action to Prevent / Manage Risk
Unavailability of Project Manager / Staff	2	2	4	Reduce risk by ensuring a back-up Project Manager is identified and is kept up to date on key Project Management information.
Technical issues delay work on Project	3	1	3	Reduce risk by ensuring timescale is valid and appropriate and technical expertise is appropriately sourced.
Expectations for Project are higher than we can deliver.	2	3	6	Reduce risk by ensuring constant and sufficient flow of information. Ensure clear boundaries for the scope of the Project.

2.4 **IPR Position**

42. *Enquire* will be managed by the University of Glasgow and will comply with the JISC Policy on Open Source Software for JISC Projects and Services. The University will own the copyright in any software developed in the JISC Project and make this available under an appropriate OSI approved licence. The software shall be made available to the UK HE and FE community free of charge and for any use throughout UK higher and further education and be available for wide dissemination in partnership with JISC. No automatic rights will be provided to any pre-existing software / technology / information used by the University of Glasgow in the JISC Project or software / technology / information developed in any parallel projects, but where the University of Glasgow is free to provide such rights to such further software / technology / information, it is happy to discuss requests for such access on a case by case basis.

3.0 **Engagement with the Community**

3.1 **Stakeholder Analysis**

43. Key stakeholders and their interest are identified here, during the course of the project we will engage with each of these groups and ensure that they are represented.

Stakeholder	Interest / stake	Importance
University of Glasgow Academic Staff and Administrators	Provide easy method for output and impact reporting.	High
University of Glasgow Service departments (e.g. Research & Enterprise, Library)	Streamline administrative processes associated with Research.	Medium
UK HE and FE community / RCUK / MRC / ARMA	Gain information on how they might develop their systems to facilitate output and impact reporting.	High

JISC	Facilitate sharing of best practice models; contribute to sector knowledge about delivering output and impact information.	High
EuroCRIS	Feedback on key data reporting requirements and trials of CERIF format.	High
RMAS	Research data management information.	High
HEFCE/HESA	Input to improvement of cultural engagement information.	Medium

3.2 Dissemination

44. Repository and Research support staff at Glasgow have continued to demonstrate leadership and expertise in this field through involvement with key conferences (e.g. ARMA and EuroCRIS). This will continue throughout the project and beyond. Dissemination and community engagement is detailed in Workpackage 4.

3.3 Evaluation

45. Evaluation of this Project will be undertaken through several processes:

- As per normal University of Glasgow practice, we will follow procedures set out in 'Projects in a Controlled Environment' (PRINCE2) guidelines. In addition to various control measures this will include production of End-stage Reports, Lessons Learned, and an End of Project Report.
- The Project will undergo evaluation by the User Group.
- There will be feedback and evaluation through user consultation from both within the institution and the wider community.
- The project will comply with JISC's conditions for Evaluation for both the project and call.

4.0 Impact (of the project)

46. The successful implementation of an institutional method for capturing and reporting required research outputs will reduce effort required by academics and administrators to provide information for different purposes.

47. We will explore the improvements to the robustness and synchronisation of data by aiming to capture data in our institutional systems and provide it from this master set to those who require it rather than separate third party systems being used to capture the same data.

48. Our work will continue to be widely disseminated to the community and we will continue to act as an institutional exemplar for the benefits of integration between research systems and a repository.

4.1 Sustainability Issues

49. The outputs of this Project will be sustained beyond the life of the Project. We intend to use the processes and functionality which we deliver from this project as part of our services for the repository and Research lifecycle.

50. Enlighten and the Research System are core University services and the institutional contribution in the budget demonstrate our commitment to this project and their future sustainability.

5.0 Budget

51. This work will build on the recently funded *Enrich* project (inf11) and provide an opportunity to further develop successful links between an institutional repository and a Research System. The University of Glasgow continues to make a significant investment in these core system which is reflected in our institutional contribution (71.4%). We believe that this project represents good value for money for JISC and the wider community. It will deliver practical tools and valuable lessons learned that can be applied by others in this sector.

52. Due to the nature of the Project and our wider plans to drive forward the extent of joined-up administrative processes and systems across the University there will be further in-kind contributions from various areas such as Research and Enterprise, Library, and IT Services as required.

5.1 Budget template

Directly Incurred Staff	March 10 – July 10	August 10	TOTAL £
Administration IT/Research MPA 6, 1 FTE			
Administration Library MPA 6, 1 FTE			
Total Directly Incurred Staff (A)			
Non-Staff			
	March 10 – July 10	August 10	TOTAL £
Travel and expenses			
Hardware/software			
Dissemination			
Evaluation			
Other			
Total Directly Incurred Non-Staff (B)			
Directly Incurred Total (C) (A+B=C)			
Directly Allocated			
	March 10 – July 10	August 10	TOTAL £
V McCutcheon, Project Manager Lead, MPA 8, 0.2 FTE			
W Nixon, Project Manager Library, MPA 8, 0.2 FTE			
G Allan, Database Manager, MPA 6, 0.1 FTE			
Estates			
Other			
Directly Allocated Total (D)			
Indirect Costs (E)			
Total Project Cost (C+D+E)			
Amount Requested from JISC			
Institutional Contributions			
Percentage Contributions over the life of the project	JISC 28.6%	Partners 71.4%	Total 100%
No. FTEs used to calculate indirect and estates charges, and staff included	All posts listed above		

6 Previous Experience of the Project Team

53. To address recruitment issues, we anticipate that the funding for the Administrator post will be used to second expertise from existing University staff. This will enable us to move forward quickly and begin work from the 1st of March.
54. **Valerie McCutcheon, Operations Manager, Department of Research & Enterprise** is an experienced PRINCE2 registered practitioner with a successful project management history including several database and data capture projects. Responsible for overseeing development and maintenance of the Research System liaising with senior administrative staff to develop and make available a more streamlined research support service. Role: Project Manager (Research & Enterprise) a member of the RCUK Research Outcomes Focus group.
55. **William Nixon, Digital Library Development Manager** has worked with repositories for over 8 years and is the Service Development Manager for Enlighten, the University's institutional repository service. He is the project manager for *Enrich* and works closely with colleagues from Research and Enterprise and IT Services. Role: Project Manager (Library)
56. **Gordon Allan, Database Manager, Department of Research & Enterprise** is the University's foremost expert on the data in the Research System and how to manipulate it. He has a lead role in managing and developing the Research System. Role: Support for Research System.

⁶ This funding is for software work to be done by EPrints Services

SPB/GCB

7th January 2010

JISC
Northavon House
Coldharbour Lane
Bristol
BS16 1QD

Dear Sir/Madam,

JISC Funding Call 11/09: Research Information Management Grant Funding

On behalf of the University of Glasgow I write to confirm support for this proposal "ENQUIRE" to JISC call 11/09.

This project contributes strongly to the delivery of the University's Research and Knowledge Transfer Strategy. It will focus on the role and use of Enlighten, our institutional repository to collect and deliver a wider range of outputs and their impact than those traditionally gathered. RCUK's requirements will inform and guide the work. The benefits of this project will be demonstrated by a case study whose lessons can be shared with peer institutions.

I confirm that the proposal has the full support of the University of Glasgow's senior management and that we agree to make appropriate institutional contributions to the project as documented in the proposal.

Yours sincerely



Professor Steven Beaumont OBE CEng FEng FRSE
Vice Principal, Research & Enterprise

From Professor Steven P Beaumont OBE CEng FEng FRSE
Vice Principal (Research & Enterprise)

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