

Appendix A - Proposal Cover Sheet

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 checked="" type="checkbox"/>	
d.	Improving interoperability	<input type="checkbox"/>	
Name of Lead Institution: Imperial College London			
Name of Proposed Project: Developing tools to inform the management of research and translating existing good practice			
Name(s) of Project Partner(s):		Elsevier B.V., Radarweg 29, 1043 NX Amsterdam, The Netherlands	
Full Contact Details for Primary Contact:			
Name: Dr John T Green		Position: Chief Co-ordinating Officer	
Email: j.green@imperial.ac.uk			
Tel: 0207 594 1512		Fax: 0207 594 8802	
Address: Level 1, Faculty Building, Imperial College, Exhibition Road, London SW7 2AZ			
Length of Project:	6 months		
Project Start Date:	01.03.10	Project End Date:	31.08.10
Total Funding Requested from JISC:	£47,868		
Funding Broken Down over Financial Years (August - July):			
	£32,707		£15,161
Total Institutional Contributions:	Imperial: £10,799	Elsevier:	£5,750
Outline Project Description:			
To review the sector's success in implementing research management systems and to build upon and to share Imperial's experience with other HEIs with the aim of translating good practice and providing a resource for the sector;			
To evaluate the ways in which HEIs across the sector are creating tools for managing research-related data from systems, to compare the variety of tools available (including those being developed by Elsevier) and to share possible ways of integrating tools to develop a holistic picture of research management metrics from bid management through to economic impact.			
I have looked at the example FOI form at Appendix B and included an FOI form in the attached bid (Tick Box)	YES X	NO	
I have read the Call and associated Terms and Conditions of Grant at Appendix D (Tick Box)	YES X	NO	

1. Partner Background

2. **Imperial College** embodies and delivers world class scholarship, education and research in science, engineering, medicine and business, with particular regard to their application in industry, commerce and healthcare. Ranked 3rd in Europe and 5th in the World (The Times Higher Education – QS World University Rankings 2009) Imperial is regarded by many within UK HE as leading the way in developing and implementing systems to manage research.
3. **Elsevier B.V.** is a global publishing and service provider to the worldwide academic sector. It develops service solutions to enable institutions to manage their research, historically through bibliometric tools but increasingly through innovative tools (such as SciVal and Spotlight) which, alongside Symplectic (developed in partnership with Imperial) and existing internal research management tools, provide a potentially powerful suite of functions, for example, linking awards to publications.

2. Summary of proposal

3. Imperial has developed a range of reporting tools for managing research. These draw data from a number of internal systems but also integrate with data sets from external funding sources allowing competitor analysis to be reported at significant levels of granularity. In order to reach this position, Imperial has successfully implemented major pre- and post-contractual research management systems which have been problematic in other parts of the sector.
4. The aim of the project is two-fold:
 - a. To review the sector's success in implementing research management systems and to build upon and to share Imperial's experience with other HEIs with the aim of translating good practice and providing a resource for the sector;
 - b. To evaluate the ways in which HEIs across the sector are creating tools for managing research-related data from systems, to compare the variety of tools available (including those being developed by Elsevier) and to share possible ways of integrating tools to develop a holistic picture of research management metrics from bid management through to economic impact.
5. Thus we shall build on the extensive work already undertaken at Imperial, including the development of KPI dashboards to support research strategy and operations. We shall look at ways to integrate reporting systems more effectively, focusing in particular upon how some of Elsevier's products could be embedded and displayed, integrating dashboard/business intelligence systems to streamline the provision of information to appropriate managers. This knowledge and expertise will then be imparted to the sector as a whole.

6. Appropriateness of fit to programme objectives & value to JISC community

7. This proposal meets the following two programme objectives:
 - B) Understanding and sharing good practice in how research information can be better developed and used by research managers;
 - C) Helping to specify requirements for and implementing (in-house or procured) IT systems in support of improved research information management.
8. Imperial's experience is that research information needs to be available in a variety of different formats and granularities for use by a variety of different users. Research management information is by no means the sole province of research managers – rather they are the people who create and manage the information from the data. The reporting has to be appropriate to the audience – thus at VC level only high-level information by Faculty might be required, whilst at Faculty level aggregation at a departmental level might be appropriate – but a department head will want detailed information by individual academic. Our study will focus very clearly on how information from data can be used to inform strategic decision-making at a variety of levels, promoting improved research management throughout individual HEIs and the sector as a whole.

9. Information on research activity is required for a variety of reasons: strategically, it informs an institution of its performance and competitiveness and also allows it to take decisions based on that information. From a more detailed, operational perspective, systems are also required to support day-to-day research administration and fulfil the needs of external stakeholders (audit, for example). Whilst it is aspirational to hope to achieve easier ways of reporting from HEI systems to meet external demands, one fundamental problem that should be recognised is that different stakeholders (e.g. Research Councils and HEFCE) each require information to be provided in different formats. We are aware that work is being undertaken to address this, through JISC projects such as EXRI and Readiness4REF, and we do not propose in this project to replicate that work since it will open up a further, more complex, dimension. Rather we believe that, if our project is successful in translating good practice across HEIs (which will inevitably use disparate systems) then HEIs will develop similar methodologies for their information requirements. This should provide consistency of approach which would complement other initiatives to align data formats.
10. This project will not be system-specific in any sense but will address how to develop information needs agnostic to systems – so very much looking at information output requirements. We see this project as supporting the outcomes of the RMAS project which is concerned with developing software solutions to support the research lifecycle. Whilst HEIs will continue to use existing disparate systems from which to report management information this project could help universities support implementation of any system that might arise from RMAS. Ultimately effective implementation of a software system is as critical as the product itself.

11. Project plan, timetable, deliverables, project management, risks, IPR, sustainability

12. The project will span 6 months and break down into the following components:

Timeframe	Tasks
Weeks 1 – 3	Project set-up with outputs: team created; project structure in place; PID signed off (all according to light-touch Prince2)
Weeks 4 – 5	Scope interaction with sector; decide format; set up meetings
Weeks 6 – 7	Develop detailed case study of Imperial College research information and system activities
Weeks 8 – 13	Interviews with minimum of 15 English universities at PVCr and Director of Research Office level
Weeks 14 – 16	Assimilation of results and draft of initial analysis
Weeks 17 – 21	Interactive workshops with participating institutions to share first results and create a consensus of findings
Weeks 22 – 25	Write report
Week 26	Project workshop for whole sector

13. Note that no time will be lost to recruitment as all required staff are already in post.
14. Overall this project will deliver a report and a workshop together with a repository of knowledge; access to expert advice and skills for institutions going forwards. The report will be widely accessible directly from Imperial though also through all JISC-related sources of relevance, such as the e-Framework Programme. Other activities that must be completed to deliver these overall objectives include:
- Completion of project set-up activities including detailed project PID and plan;
 - Write-up of detailed case study of research information management and system implementation lessons learned at Imperial College;
 - Development of appropriate set of interview questions for research fieldwork;

- d. Write-up of site visits and structured capture of results ready for analysis;
- e. Analysis and comparison of project findings linking with: (i) Imperial College case study and (ii) Elsevier product capabilities;
- f. Workshop design and facilitation to draw key findings;
- g. Completion of project report seeking to draw out sector challenges and elements of good practice;
- h. Design and delivery of end project workshop (including presentation of findings and interactive discussion);
- i. Publication and dissemination of results (through reports, web resource etc.).

15. The project will be led by Imperial where Prince 2 methodology is routinely used together with agile project management approaches where appropriate. Both staff members involved have experience of managing or directing research system-related projects.

16. Risks:

Risk	Likelihood (out of 10)	Impact (out of 10)	Action
Unable to sign up appropriate institutions to take part within the tight timescales.	3	4	Reduce number involved if reduction is minimal. Delay project end slightly to ensure sufficient input obtained if engagement is low.
Unable to fix meetings with appropriate staff at the correct levels within the tight timescales.	5	4	Reduce number involved if number of those unavailable is minimal. Delay project end slightly to ensure sufficient input obtained if very few are available.
Appropriate people unavailable to attend workshops.	4	6	Reduce number involved if number of those unavailable is minimal. Delay project end slightly to ensure sufficient HEIs to form a quorum.
HEIs involved have no tools for managing research information and cannot contribute experience.	2	7	If few HEIs have knowledge to divulge, the final project output will be much narrower, but the impact of the report may be increased as an even greater need for such information would exist than expected. The risk must be accepted.

17. There are no patentable outcomes.

18. This project will provide a knowledge resource (documented and residing in the team) to be accessed in years going forwards around project implementation and about data being used to inform strategy. This will be particularly important in informing implementations following the RMAS project, which seeks to develop a comprehensive, shared research system

19. **Engagement with community**

20. There will be active engagement with the community throughout the project with differing types of involvement as stated above in sections 12 and 14.

21. The data integration aspects of EXRI, BRII and CERIF seem to be of particular relevance to this project and as such Imperial will aim to incorporate any relevant lessons learned from their progress into the process defined above.

22. **Impact**

23. Imperial is felt by many to be the forerunner in use of research management systems and information within UK HE. Other HEIs' current situations concerning use of such tools will be determined during the contacts made as part of the project plan.

24. Stakeholders in this project will be research administration managers from across the HE sector with the responsibility of providing concise and actionable information to research managers, tailored to their specific needs.

25. The outputs of this project would deliver the following benefits to JISC:

- a) Guidance to the sector on 'best practice' models for using technology that can be used at a range of levels;
- b) Leadership to the sector in a difficult and complex area, influencing the national scene;
- c) Knowledge and experience as a basis for future funding decisions for the JISC.

26. This project will have short and long-term benefits for HEIs:

- a) An immediate effect will be to transfer experience of implementations of systems for the management of research; additionally it will share amongst HEIs the ways in which information from research management can be used to monitor performance and influence the strategy of the institution;
- b) In the longer term the project will raise awareness of the underlying issues and provide a body of knowledge to be shared amongst the community with an expectation that the community will converge in its expectations of research management information (just as all institutions will have an alignment as to the financial management available to it).

27. Apart from the application to internal research management, the outputs could also influence or assist in the way in which institutions report to external bodies (such as REF and RC's forthcoming Outcomes tool).

28. We will work with InfoNet and UKOLN to disseminate and share outcomes through appropriate forums.

29. The success of the project will be measured by:

- a) the degree of participation of other HEIs;
- b) the degree of engagement by participating institutions;
- c) intentions to implement changes in response to best practice guidelines generated by the project.

30. Qualitative and quantitative benefits to project partners

31. This is critical to Imperial because it has successfully implemented a number of systems for managing research over the past few years including InfoEd (pre-award), Oracle Grants (post-award), Wellspring (IP management) and Time SMART (timesheets). Imperial has gained deep experience through these projects and, like other universities implementing these systems, has had challenges and learned lessons. It is important not to be complacent and to remain aware of opportunities that lie ahead. Research is the critical part of Imperial's business, which strong management can influence and thereby grow the business effectively. No financial benefit is expected to arise directly from this project.

32. This is critical to Elsevier because they have been at the forefront of providing solutions to the academic communities for many years. As systems develop, data sources proliferate and institutions become more demanding. Elsevier wishes to understand the needs of its customers in order to invest appropriately in products to support HE. No financial benefit is expected to arise directly from this project.

33. Institutional contributions and contribution from partner

34. Imperial and Elsevier will contribute the following support in kind:

Partner	Resource	Commitment
Imperial	John Green, Chief Co-ordinating Officer	[Redacted]
Imperial	Ian McArdle, Acting Head of Research Systems	[Redacted]
Elsevier	Felix Haest, Director Key accounts	[Redacted]

	Europe (and Farhana Hoque, Senior Account Manager UK)	
Elsevier	Joy van Baren, Manager User-Centered Design and solution specialist	
Elsevier	Gebke van Gaal, Senior Project Manager	Project management and support (approximately
Elsevier	Niels Weertman, Director Scopus, Performance & Planning and collaboration tools	
Elsevier	Phile Govaert, Director Sales and Marketing, Europe – APAC – Latin America	

35. Team experience

36. John Green was appointed Chief Co-ordinating Officer of Imperial College in October 2004 having been Secretary of the Faculty of Medicine since 1998. He was responsible for creating and implementing the administrative structure for the five merged medical schools into Imperial (St. Mary's, Royal Postgraduate School Hammersmith, Charing Cross & Westminster, National Heart & Lung Institute) thereby creating the largest medical faculty in the UK. Since 2004 he has been responsible at a university-wide level for the co-ordination of activities which span faculties and/or service departments. He has led major projects involving IT, restructuring and relations with industry, particularly in the areas of health and technology.
37. Ian McArdle has worked at Imperial's Research Office for almost four years and was heavily involved in the InfoEd implementation project (pre-award system). Furthermore, Ian was involved in designing an End User Layer to allow ad hoc reporting and a number of specific standard reports within a separate tool (Discoverer), which has been linked to both InfoEd and Grants (post-award system). To further optimise delivery of key research information to senior management, Ian is currently involved in a project to deliver tailored KPI dashboards (using Oracle BIEE), merging data from a variety of different internal and external data sources.
38. Felix Haest has worked for the last ten years in diverse sales and marketing positions within Elsevier. He has also led a global project within Elsevier concerning the improvement of customer service, including transparent performance indicators and dashboards.
39. Farhana Hoque has been Senior Account Manager for the UK market for the past five years. She has built excellent relationships with many institutes across the country in combination with good sustainable results.
40. Joy van Baren is User Experience Portfolio Manager and has been working for Elsevier's User-Centred Design (UCD) group for over five years. She has led the user research and interface design activities for products such as Scopus, and more recently Elsevier's SciVal suite which is targeted to senior academic leadership and research managers.
41. Gebke van Gaal is the project and portfolio manager for the SciVal Suite and is a certified IPMA and PRINCE2 trainer and project manager.
42. Niels Weertman holds overall responsibility for product development, sales and marketing of Scopus and Scirus, which were launched in 2004 and have since grown to successful new products with strong user bases.
43. Phile Govaert is Director of Sales & Marketing, Europe – APAC- Latin, focussing on the larger customers and was previously Director of Global Business Development and Strategy within the Academic & Government group.

Budget

	March 10 – July 10	Aug-10	TOTAL FEC	JISC Price
Directly Incurred Staff (A)	£0	£0	£0	£0
Directly Incurred Non-Staff	March 10 – July 10	Aug-10	Total FEC	JISC Price
Travel for 15 visits for two people	██████	██	██████	██████
Printing and administration	██████	██	██████	██████
Project coordination	██████	██	██████	██████
4 initial workshops	██████	██	██████	██████
Final workshop	██	██	██████	██████
Publication	██	██	██████	██████
Travel for programme activities	██	██	██████	██████
Webpage creation and maintenance	██████	██	██████	██████
Total Directly Incurred Non-Staff (B)	██████	██	██████	██████
Directly Incurred Total (C) (A+B=C)	██████	██	██████	██████
Directly Allocated	March 10 – July 10	Aug-10	Total FEC	JISC Price
Imperial Staff – Ian McArdle	██████	██	██████	██
Imperial Staff – John Green	██████	██	██████	██
Imperial Estates - Non-Lab	██████	██	██████	██████
Elsevier Staff – Joy van Baren	██████	██	██████	██
Elsevier Staff – Phil Govaert	██	██	██████	██
Elsevier Staff – Niels Weertman	██	██	██████	██
Elsevier Staff – Felix Haest	██████	██	██████	██
Elsevier Staff – Gebke van Gaal	██	██	██████	██
Directly Allocated Total (D)	██████	██	██████	██████
Indirect Costs (E)	██████	██	██████	██████
Total Project Cost (C+D+E)	██████	██	██████	██████

Contributions

	March 10 – July 10	Aug 10	Total Contribution	
Amount Requested from JISC	██████	██████	██████	
Imperial Contributions	██████	██████	██████	
Elsevier Contributions	██████	██	██████	
Percentage contributions over the life of the project	JISC 74%	Imperial 17%	Elsevier 9%	Total 100%
FTEs for Indirects and Estates	John Green	██	Ian McArdle	██