

JISC DEVELOPMENT PROGRAMMES

Prospero: Preparatory Phase Project Plan

Project

Project Acronym	Prospero	Project ID	
Project Title			
Start Date	1 st March 2006	End Date	31 st July 2006
Lead Institution	Joint: University of Edinburgh (EDINA) & University of Nottingham (Sherpa)		
Project Director	Co-directors: Peter Burnhill (University of Edinburgh) and Stephen Pinfield (University of Nottingham)		
Project Manager & contact details	Christine Rees (EDINA) c.rees@ed.ac.uk	Bill Hubbard (SHERPA) bill.hubbard@nottingham.ac.uk	
Partner Institutions	-		
Project Web URL			
Programme Name (and number)	Digital Repositories		
Programme Manager	Neil Jacobs		

Document

Document Title	Project Plan		
Author(s) & project role	Bill Hubbard (Sherpa) and Christine Rees (EDINA)		
Date	15 th May 2006	Filename	
Access	<input checked="" type="checkbox"/> Project and JISC internal		<input type="checkbox"/> General dissemination

Document History

Version	Date	Comments
V1.0a	15 th May 2006	Submitted to Programme Manager. Previously agreed should be a basic, rather than full, project plan

Overview of Project

1. Background

This project runs over five months and is the Preparatory Phase for the JISC ‘open access’ (OA) repository of research papers [Prospero: Providing a Repository for Open-access Subject-Presented Eprints Online]. The proposal was made in response to an approach by the JISC Executive following the announcement of CSR planning, indication of RCUK intention, and the PROSPER bid by SHERPA to the Repository Programme.

Building upon expertise at SHERPA and EDINA, respectively in repository developments and large-scale information service provision, the work offers a short-term and cost-effective solution to the requirement posed by the JISC Executive; it presupposes a five-year planning and policy horizon with up to three years funding potentially available that would support a Main Phase of Prospero depending on the outcomes of the Preparatory Phase.

2. Aims and Objectives

The principal purpose is to provide an open access repository for researchers, serving in particular those authors at institutions that do not presently have digital repositories for research papers. At present, 16 major research-led universities are known to support institutional repositories (IRs) for their academics. More are at the planning stage. There are estimated to be in excess of 100 institutions without IRs. The principal content of the Prospero repository will be full-text research papers (preprints and postprints).

Hence the aim of Prospero is to meet JISC objectives by delivering:

- an online repository to support deposit of research papers
- subject-based ‘open access’ to its contents
- inter-working & inter-operability with extant & emerging institutional repositories
- a tool to support policies of JISC for ‘open access’
- advocacy for ‘open access’ repositories
- a risk register and exit strategy

3. Overall Approach

Scoping the relationship between Prospero, institutional and subject-based repositories, data-centres and other archives will form an integral part of the Preparatory Phase. The intention is to develop mutually-beneficial and supportive working that facilitates policy development, increases exposure for UK research and constitutes part of a national response to open access developments and recommendations. This scoping will be supported by implementation of a repository that will help generate feedback and fully determine requirements.

The principal functionalities of the Prospero repository, subject to scoping activity, will include search/browse/retrieval of metadata; retrieval/download of the full text (object) for the found reference; facilities for deposit/ingest of metadata and object (for standard formats, such as pdf and xml); support OAI-PMH harvesting; facilities to export metadata and objects to authorised third party repositories; secure hosting and archiving of metadata and objects. The scoping exercise will also consider *metadata-only records*, These may allow reference to be made to other material held elsewhere, especially for virtual composite objects.

It is also likely that the Prospero repository must also support linkage using Award Reference numbers of relevant funding agencies, eg CERIF-derived formats, in order to meet any Research Councils requirements.

It is intended that the Prospero Project will provide subject-based access; it could be viewed as offering repository services to those subject communities – the vast majority – without a current, active, quality-assured subject repository. The Prospero Project is not intended to offer a replacement for institutional repositories.

Success Factors / Important issues:

Understanding the requirements of a national repository and the interaction and interoperability with institutional and subject repositories will be important in achieving a successful outcome. Other important issues include:

- engagement and dialogue with stakeholders, the Oversight Group and the Repository Advisory Group
- scoping the main phase repository
- main phase proposal is supported and funded by the JISC IIE
- formulation of a plan for the main phase of the project.

4. Project Outputs

Tangible deliverables & principal work activity:

- a website and FAQ facility to ensure a clear message on repository use is presented to end-users and the community more generally.
- contact and liaison with stakeholders
- a scoping study and report, including the role of Prospero in academic work-flow, funding council processes and national repository environment
- selection of initial repository software and a first-cut implementation; helpdesk to support use.
- investigation of user authentication/authorisation to support deposit, and links with extant IRs
- preparation of the Main Phase proposal, with the JISC Executive, including service and project management, appropriate staffing levels, governance, etc
- development of a Deposit Licence to reflect Prospero requirements

Knowledge and experience gained:

- Through implementation of a 'first-cut' repository, knowledge and understanding of general usability aspects of repository interfaces
- Contribution to the exchange of knowledge and experience as more institutions consider implementing their own repository through software deployment and development of deposit workflows
- Through scoping activity, enhanced understanding of the decisions that must be made surrounding procedures, technical standards, metadata, and quality assurance when creating an open access repository

5. Project Outcomes

Through the Prospero preparatory phase, there will be:

- limited support to the Open Access movement and JISC strategy

- understanding of how a national open access repository could fit into the information and repository landscape and how it would need to interoperate with institutional and subject repositories
- community-wide awareness – at an organisational level within institutions and also individual researchers - of the rationale for a national OA repository and how it might be used.

6. Stakeholder Analysis

The importance assigned reflects the 5 month project period. The importance to most of these stakeholders will increase if the project continues into the Main Phase. Publishers as stakeholders have not been included: interest will likely be generated if further funding is made available and a service widely offered.

Stakeholder	Interest / stake	Importance
JISC	As funder, to support OA provision and activity.	High
Institutions: with an IR	The role of a national repository and the services it may offer to the institution. Interoperation with the national repository.	Medium
Institutions: without an IR	The role of a national repository and the services it may offer to the institution. Interoperation with the national repository.	High
Research Councils	Will support any mandatory requirement for deposit in an open access repository. Linking award information with research outputs.	Medium/Low
Researchers / authors	A place to make research outputs available to the academic community; visibility and recognition. But until a longer-term existence for Prospero is assured this interest will be low.	Medium/Low
Other repository projects	Shared experience of repository implementation; interoperability issues; cultural and legal aspects of gathering content.	Medium/Low
Other repository services	For example, Intute/RDN resource discovery project	High/Medium

7. Risk Analysis

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
Staffing				
Loss of key project staff; insufficient staff resource assigned	1	5	5	Recruitment would not be possible within the timescale of a short project. Investigate additional resource to take on discrete tasks. Share knowledge amongst staff; sufficient & continuing documentation.
Organisational				
Miss project deadlines for deliverables	3	5	15	For a short project there will be very little time to 'catch up'. Clear and regular communication of progress between partners. Re-prioritisation of activity to release resource or to key deliverables. Investigate additional resource to take on discrete tasks.
Gathering stakeholder feedback; establishing stakeholder contact takes longer than estimated.	3	4	12	Careful timing and active follow-up of requests for information. Disseminate to a larger group to allow for some lack of response..
Technical				
Chosen repository software will not support initial use/initial functionality required	1	4	4	Choose software with an existing user base. Establish contact with any support community. Be aware of potential fall-back options.
Legal				
A suitable deposit licence will need to be developed to support ingest.	3	4	12	Research what others have already successfully done/found.
Stakeholders				
Difficult/impossible to reach consensus between key stakeholders on rationale for the repository	1	5	5	Continuing consultation with all stakeholders to establish common views and understanding of role of repository and functionality to be offered.

As has been noted, the restricted timescale poses challenges for project delivery. EDINA and SHERPA have secured release of staff from other duties to effect re-deployment for the Preparatory Phase.

8. Standards

The standards that are relevant to Prospero include:

Name of standard or specification	Version	Notes
OAI Protocol for Metadata Harvesting (OAI-PMH)	V2.0 (http://www.openarchives.org/OAI/openarchives/protocol.html)	For m2m access to the metadata
XML	http://www.w3.org/XML/	For data export
W3C Web Accessibility Initiative	http://www.w3.org/WAI/	For a fully compliant web interface
Dublin Core metadata element set	ANSI/NISO Z39.85 -2001	The results of the JISC working group developing a Dublin Core Application Profile for describing scholarly publications (eprints) held in institutional repositories. will provide input.

The preparatory phase of the project is not restricting the standards used, rather the functionality available. The preparatory phase will, therefore be restricted to activities that employ the OAI Protocol for Metadata Harvesting (OAI-PMH) for m2m, XML for exporting, and a W3C Web Accessibility Initiative compliant interface.

The project will adhere to the general guidelines and standards specified for developments within the JISC IIE (<http://www.ukoln.ac.uk/distributed-systems/jisc-ie/arch/standards/>).

9. Technical Development

The project involves software deployment to deliver the Prospero repository. The timescales for implementation dictate a pragmatic rather than a rigorous requirements led approach to choice of software. Hence no formal development methodologies will be adopted.

10. Intellectual Property Rights

Any IP created by the project will be covered by the terms of funding and are part of the signed funding agreement.

In addition, the preparatory phase will explore an additional requirement in the deposit license, which allows Prospero to transfer any items to another repository.

Project Resources

11. Project Partners

EDINA, University of Edinburgh (Peter Burnhill):

Repository implementation, field testing and support; web presence and supporting documentation.

SHERPA, University of Nottingham (Stephen Pinfield):

Advocacy and stakeholder liaison, policy investigation.

12. Project Management

The Preparatory Phase for Prospero will be led by Peter Burnhill (EDINA) and Stephen Pinfield (Nottingham), supported by Christine Rees (EDINA) and Bill Hubbard (SHERPA). EDINA will act as the lead partner for the purposes of project administration and finance. Overall responsibility for the project will rest with the Co-Directors of the project. The project will be managed within usual line management arrangements at EDINA and SHERPA, including any training needs of project staff. Although a formal project management framework will not be used given the short period of the project, regular email exchange and video/teleconferences will be important aspects of maintaining communications and reporting on progress between the partners.

Members of Project Team are:

Peter Burnhill	Director, EDINA (peter.burnhill@ed.ac.uk)
Stephen Pinfield	Director SHERPA and Deputy Chief Information Officer and Director of Research and Learning Resources, Information Service, University of Nottingham (stephen.pinfield@nottingham.ac.uk)
Christine Rees	EDINA, Bibliographic and Multimedia Services Manager (christine.rees@ed.ac.uk)
Robin Rice	EDINA, Data Librarian, University of Edinburgh (robin.rice@ed.ac.uk)
Ian Stuart	EDINA, Software Engineer (i.stuart@ed.ac.uk)
Tim Stickland	EDINA, Software Engineer (t.stickland@ed.ac.uk)
Leah Halliday	EDINA, Advice on Copyright/IPR issues (leah.halliday@ed.ac.uk)
Bill Hubbard	SHERPA Manager (bill.hubbard@nottingham.ac.uk)

Staff at EDINA providing helpdesk support, web and interface design will also contribute to Prospero.

Oversight Group

An Oversight Group has been set up to provide stakeholder advice, guidance and feedback to the project:

Alison Alden	Chair JIIE
Astrid Wissenburg	ESRC/RCUK
Brian Matthews	CCLRC
Rachel Bruce	JISC
Frederick Friend	JISC Scholarly Communication Consultant
Neil Jacobs	JISC, Repositories Programme Manager

13. Programme Support

Areas where programme support will contribute to the successful outcome of the project include:

- helping the project team ensure that the purpose and rationale for Prospero funding is established; help managing stakeholder expectations
- facilitating liaison and communication with other JISC projects where there may be mutual benefit from sharing experience.

14. Budget

See Appendix A. There are no changes from the budget in the agreed project proposal.

Detailed Project Planning

15. Workpackages

See Appendix B.

16. Evaluation Plan

The primary measure of project success will be securing continued funding against the proposal to be submitted to JIIE in May and September 2006 for the project to move into a main phase. The scoping activity, liaison with stakeholders, and establishing within the community the role of a national OA repository will all contribute to the success of the main phase proposal.

17. Quality Plan

The short term of the project does not allow for a detailed quality plan to be devised. However, where quality is identified as a significant aspect of any aspect of project activity a pragmatic rather than formal approach will be adopted. For example, it will be important to determine during the scoping activity what procedures will need to be established to ensure the quality of items being deposited in Prospero. The robustness and quality of the repository software will also be an important aspect of the quality of service that can be provided. Again, the scoping work will provide a benchmark against which to measure the software and its continued use into the main phase.

18. Dissemination Plan

The project will share outcomes with the community and stakeholders through the project web site; through project participation in the Repository Programme; and through the advocacy and liaison activity that comprises one of the project workpackages. The key message will be the role of a national open access repository in the emerging UK repository environment.

19. Exit and Sustainability Plans

If the project is successful in securing funding for the proposed main phase (August 2006 – February 2009) this will carry forward the preparatory phase outputs. If there is no funding for the main phase, the project web site will continue to be available for the length of time specified by JISC and this will provide access to the reports and project findings. Any content in the Prospero repository will need to be transferred to an appropriate and continuing store.

Appendix B. Workpackages

WORKPACKAGES	Month	1	2	3	4	5
		2006				
		Mar	Apr	May	Jun	Jul
1: Project Management & Programme participation						
2: Establish Prospero Web site						
3: Liaison, advocacy & policy development						
4: Scoping the national repository						
5: Implementation of initial repository						
6: Preparation of main phase proposal						
7: Deliver initial deposit service						
8: Technology & Repository watch						

Project start date: 1st March 2006

Project completion date: 31st July 2006

Duration: 5 months

Prospero – Preparatory Phase Workpackages

<i>Workpackage and activity</i>	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
<p>WORKPACKAGE 1: Project management & Programme participation</p> <p>Objective: <i>to ensure effective scoping, development, and service delivery over the life of the project from conception to closure.</i></p>	March, 2006	July 2006			EDINA & SHERPA
1. Liaison with funders and other primary stakeholders including JISC Repositories programme manager, JIEE committee, Oversight Group, and Repositories Advisory Committee on behalf of the project.			Attending meetings including videoconferences, email correspondence, communicating feedback on project documents to project team.		
2. Project planning			Project Plan, progress reports. Monitoring of all project activity, management of relationship with partners and project staff.	Project Plan submitted to JISC	
3. Participation in Repository Programme, JISC-related events and activity			Attendance at meetings, participation in Programme wiki, etc.		
<p>WORKPACKAGE 2: Establish Prospero Web site</p> <p>Objective: <i>to ensure a clear message about the role of Prospero is presented to the community and potential users</i></p>	April 06	June 06	Project web site	Web site available	EDINA
4. Develop web site structure to support communication of role, advocacy					

Prospero – Preparatory Phase Workpackages

<i>Workpackage and activity</i>	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
5. Produce information for web site supporting communication of role and advocacy					
6. Produce information for web site supporting deposit into/access to 'first-cut' repository.					
7. Produce information for web site supporting m2m access					
WORKPACKAGE 3: Liaison, advocacy & policy development	April 2006	July 2006			SHERPA
Objective: <i>Raise awareness of the repository services and its role; promote benefits and outline expectations of use. Investigate/determine an environment that will encourage author deposit</i>					
8. Engagement with stakeholders			Contextualised awareness of Prospero		
9. Gathering feedback from stakeholders as to the use and facilities of Prospero to guide development for main phase			Service which responds to users' needs in wide context of open access environment		
10. Production of promotional material detailing initial Prospero service aimed at various stakeholders (authors, institutions, funding bodies etc)					
11. Review of institutional repository activity and start establishing appropriate institutional contacts.			Start creation of a database of contacts at institutions		
12. Investigate policies required to provide support for Prospero use.					

Prospero – Preparatory Phase Workpackages

<i>Workpackage and activity</i>	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
<p>WORKPACKAGE 4: Scoping the national repository</p> <p>Objective: <i>to ensure that a national repository is implemented during the main project phase that takes account of stakeholder interests/requirements and reflects best practice as well as fitting into the digital landscape.</i></p>	April 06	July 2006			EDINA & SHERPA
13. Reach consensus amongst primary stakeholders regarding motivation, rationale, stakeholders and user communities for a national open access repository					
14. Determine the repository 'model' (to meet the needs of the main stakeholders: JISC, Research Councils, Authors, Institutions, Users)					
15. Scoping study and report to inform main phase, including the role of Prospero in academic workflow, funding council processes and national repository environment			Full Scoping study and report completed and publicly disseminated for feedback.		
<p>WORKPACKAGE 5: Implementation of initial repository</p> <p>Objective: <i>to uncover deficiencies in software and workflow and other scoping decisions through field testing before rollout of national service.</i></p>	March 2006	July 2006			EDINA
16. Technical appraisal/selection of repository software and enhancements identified for			Testing of extant repository software and appraisal for use by Prospero.		

Prospero – Preparatory Phase Workpackages

<i>Workpackage and activity</i>	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
development.					
17. Investigation of user authentication/authorisation to support remote deposit, and links with extant IRs			Feeding into scoping report.		
18. First-cut implementation of a repository			Pilot repository implementation to conduct field testing.		
19. Identification and liaison with 6 institutions to assist in field testing			Relationships set up with 6 institutions drawn from within the SHERPA partnership and from those currently without an IR.		
20. Development of Prospero deposit licence					
21. field test of deposit procedures with authors and librarians			Deposit Licence to reflect Prospero requirements		
22. Investigate use/access to SHERPA/RoMEO database					
<i>WORKPACKAGE 6: Preparation of main phase proposal</i> <i>Objective: Planning for main phase & securing necessary funding & community support</i>	April 2006 & July 2006	May 2006 July 2006			EDINA & SHERPA
23. Preparation of the Main Phase proposal, with the JISC Executive, including service and project management, appropriate staffing levels, governance, etc					
24. Produce plans for re-implementation of repository at the start of the Main Phase					

Prospero – Preparatory Phase Workpackages

<i>Workpackage and activity</i>	Earliest start date	Latest completion date	Outputs (clearly indicate deliverables & reports in bold)	Milestone	Responsibility
<p>WORKPACKAGE 7: Deliver initial deposit service</p> <p><i>Objective:</i> Establish the necessary components to support a service to the community</p>	June 2006	July 2006		Launch of initial deposit service	EDINA
25. Establish a Helpdesk, making use of the EDINA infrastructure					
26. Publicise deposit service availability to community					
27. Contribute to & ensure Prospero participation in the Intute/RDN resource discovery work					
<p>WORKPACKAGE 8: Technology & repository watch</p> <p><i>Objective:</i> Maintain awareness of repository developments and environment</p>	April 2006	July 2006			EDINA & SHERPA
28. Track technical (software, standards etc) developments					
29. Track repository activity at UK institutional level and international level					
30. Investigate use of LOCKSS to contribute to wider digital preservation discussion					