



PROJECT PLAN

Project Information			
Project Acronym	UKLA:CD		
Project Title	UK LOCKSS Alliance Community Development Activities		
Start Date	August 2010	End Date	July 2011
Lead Institution	EDINA		
Project Directors	Peter Burnhill (EDINA)		
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Partner Institutions	LOCKSS, Stanford University		
Project Web URL	http://edina.ac.uk/lockss		
Programme Name (and number)	<i>JISC Preservation Programme</i>		
Programme Manager	Neil Grindley		

Document Name			
Document Title	UKLA:Community Development Activites Project Plan		
Reporting Period			
Author(s) & project role	Peter Burnhill (Project Director); Adam Rusbridge (Project Manager)		
Date		Filename	
URL			
Access	<input checked="" type="checkbox"/> Project and JISC internal	<input type="checkbox"/> General dissemination	

Document History		
Version	Date	Comments
0.1	22 nd September 2010	
1.0	1 st November 2010	

OVERVIEW OF PROJECT

This project was initiated to support and enhance the community activities of the UK LOCKSS Alliance. JISC have agreed to support the project from August 2010 to July 2013¹.

Our three-year vision proposes the following three outcomes:

- *The UK LOCKSS Alliance will be a self-sustaining membership organisation. It will operate as a specialist library group, with a more focused remit than groups such as RLUK and SCONUL.*
- *The UK LOCKSS Alliance will work to introduce a stable process for comprehensive e-journal preservation in the UK. In doing so it will operate with and alongside other relevant initiatives, such as PEPRS, PECAN, other journal preservation initiatives, and library groups.*
- *The UK LOCKSS Alliance Steering Committee will assess with members the usage of LOCKSS for other types of content of shared interest, with the goal of introducing a UK-specific Private LOCKSS Network.*

The UK LOCKSS Alliance is a co-operative organization whose goal is to ensure continuing access to scholarly work in ways that are sustainable over the long term. It represents collaborative activity of UK libraries that are interested in building national infrastructure and coordinating the preservation of electronic material of local interest.

Deployment of the LOCKSS software allows UK Higher Education libraries to develop journal preservation infrastructure and collections, and engage with journal preservation issues at a tangible, local level. The UK LOCKSS Alliance is concerned with coordinating an effective national response to continuing access of at-risk material. In both decision-making and local responsibility, the UK LOCKSS Alliance considers library involvement a central requirement.

A Steering Committee to govern the UK LOCKSS Alliance has now been established, with members now identifying UK priorities and leading library activity. The Steering Committee was established to coordinate a community-driven strategy for the development and promotion of the UK LOCKSS Alliance, and to introduce a model of governance that ensures the LOCKSS approach meets the collection and technological needs of its subscribing organizations.

Under direction of the Steering Committee, the UK LOCKSS Alliance wishes to expand the community activities that are central to the initiative's value. These community activities improve the ability of HE libraries to build, contribute to and learn about shared practise and policy.

¹ As noted in the grant letter, "Institutions should note that the Funding Councils have not at this stage committed funding for this initiative beyond 2010/11 AY and any funding in subsequent years will be conditional on such confirmation."

1 BACKGROUND

The UK LOCKSS Alliance is a co-operative organization whose goal is to ensure continuing access to scholarly work in ways that are sustainable over the long term.

Lots Of Copies Keep Stuff Safe (LOCKSS) is an international initiative to ensure libraries remain central to the process of scholarly information management. It provides libraries with the tools and support to easily and inexpensively take custody of the assets for which they have paid; to build – not simply lease – local collections of the scholarly material their readers care most about. LOCKSS allows libraries to activate perpetual access rights when needed, without affecting the daily relationship between library and publisher.

Following a successful two-year JISC-funded pilot involving 30 libraries in UK higher education, the UK LOCKSS Alliance launched in August 2008 as a membership organisation. EDINA is involved in the UK LOCKSS Alliance through provision of a support service that undertakes technical developments and programme coordination. Costs for the support service are recovered from institutional membership fees, and EDINA has made a commitment to support the service and manage the costs associated with the support service for a further three years starting in August 2010.

A governing Steering Committee comprised of librarians at participating institutions ensures the UK LOCKSS Alliance is working to ensure the UK LOCKSS Alliance service meets community expectations and requirements.

2 AIMS AND OBJECTIVES

Aims

The UK LOCKSS Alliance Community Development Activities project is to support and enhance the community activities of the UK LOCKSS Alliance.

These community activities will improve the ability of HE libraries to contribute to and learn about shared practise and policy, and will promote and develop library journal preservation infrastructure and strategy. Activities will be developed under direction of the Steering Committee.

Objectives

Our three-year vision proposes the following three outcomes:

- *The UK LOCKSS Alliance will be a self-sustaining membership organisation. It will operate as a specialist library group, with a more focused remit than groups such as RLUK and SCONUL.*
- *The UK LOCKSS Alliance will work to introduce a stable process for comprehensive e-journal preservation in the UK. In doing so it will operate with and alongside other relevant initiatives, such as PEPRS, PECAN, other journal preservation initiatives, and library groups.*

- *The UK LOCKSS Alliance Steering Committee will assess with members the usage of LOCKSS for other types of content of shared interest, with the goal of introducing a UK-specific Private LOCKSS Network.*

3 OVERALL APPROACH

Year one (August 2010 – July 2011) is intended to introduce further structure to the UK LOCKSS Alliance as a community organisation, and to assess the usage of LOCKSS for other content types.

Year Two (August 2011 – July 2012) will review the action initiated in the first year of project funding, evaluating and extending activity in terms of the number of participating organisations and functionality.

Year three (August 2012 – July 2013) is concerned with planning for sustainable future activity.

The following sub-sections describe the planned approach in more detail.

3.1 Organisational Structure and Sustainability (WP2)

To prepare with the Steering Committee a strategic plan that explores funding possibilities appropriate to the long-term operation of the UK LOCKSS Alliance cooperative organisation. This will look at the required number of participating libraries needed to cover costs and encourage growth. The strategic plan will build upon recent international work such as that of the Blue Ribbon Task Force with regards to sustainability and the DRAMBORA and TRAC models with regards to audit.

3.2 Institutional, National and International Policy (WP3)

To engage with appropriate bodies at both a national and international level to develop policy responses with the goal of ensuring access to back copy, post-cancellation. Internationally, the UK LOCKSS Alliance is an example of a national model to manage e-journal preservation. In the UK, it will consider how to improve communications with the JISC Collections Electronic Information Resources Working Group. It will forge links with other national groups, such as the German LOCKSS Alliance, with the intention of sharing information and learning from external experiences.

3.3 Collection Development and Management (WP4)

To review and assess the role of a Private LOCKSS Network (PLN) in the UK, moving to implementation if the recommendations are supportive. Private LOCKSS Networks are of significant interest to the UK community. The UK LOCKSS Alliance will engage with administrators of other PLNs to understand the type of content that can be preserved, and the models in which Private LOCKSS Networks can be operated. If appropriate, seed funding may be used to purchase hardware for a UK PLN.

The UK LOCKSS Alliance committee should review if the UKLA approach towards e-journal preservation can be applied to other library interests, such as learning and teaching objects, or institutional repositories. This scoping activity would consider whether the model can be applied to alternative forms of content, and how this would improve resilience to supply of continuing access.

The OpenLOCKSS project (<http://www.lib.gla.ac.uk/Research/openlockss/>) demonstrated a community-based model for identification and negotiation of small, Open Access publishers in LOCKSS. The UK LOCKSS Alliance wishes to build upon this work by offering training and coordination for library staff.

3.4 Outreach, Engagement and Awareness (WP5)

To implement a communication strategy that engages with and supports participating members in sharing information. The intention is to help address member's long-term collection and continuing access needs.

The UK LOCKSS Alliance will undertake a more structured and pro-active outreach campaign during its next phase with the intention of increasing membership, and will consider how it can engage with regional, national and international consortia and projects.

3.5 Technical Infrastructure, Operation and Access (WP6)

To review the technical infrastructure of LOCKSS, other approaches, and technologies and systems supporting continuity of access to electronic journal content. UK LOCKSS Alliance members will continue to be involved in the design and testing of functional improvements to LOCKSS.

4 PROJECT OUTPUTS

Project outputs will be:

1. Well-defined policies and practices for library activities surrounding the UK LOCKSS Alliance, including guidance on developing local policy, a stable model for collection development, and well-defined processes for the support and development of the LOCKSS technology.
2. A forum to discuss and share information on approaches to journal preservation, that helps educate and inform the UK library community on available options, encourages participation in the most suitable approach for their needs, and supports system development to ensure stable and comprehensive preservation of journal content.
3. Assessment of a Private LOCKSS Network for UK library collections and, if the outcome is favourable, implementation.
4. Implementation of a strategic outreach plan both within the UK library community, and at the national and international level, that supports the UK LOCKSS Alliance mission to be a well-defined and understood organisation to ensure continuing access to journal content.
5. A business strategy for sustainable operation of the UK LOCKSS Alliance, including governance, targets for funding, and defined processes for technical and content development.

5 PROJECT OUTCOMES

Project outcomes will be:

1. An improved strategic response to the challenges of continuing access. Better-defined policies, and clarity of the roles and responsibilities of libraries, community bodies and preservation agencies will support this.
2. A community of libraries in the UK using the UK LOCKSS Alliance to discuss and plan for journal preservation and continuing access, and using the LOCKSS technology to build collections.
3. A self-sustaining organisation led by the UK LOCKSS Alliance Steering Committee, with support activities led by EDINA.

6 STAKEHOLDER ANALYSIS

Stakeholder	Interest / stake	Importance
Key project organisations		
JISC	Funding Body	High
EDINA	A national data centre with responsibilities for developing and hosting information services. EDINA coordinate and support UK LOCKSS Alliance member activity.	High
LOCKSS	The Stanford based LOCKSS team develop the LOCKSS software and provide additional support to the UK community.	High
University and research libraries		
	University libraries rely on the LOCKSS software and other service providers to provide continuing access to content following cancellation. Librarians wish to use the UK LOCKSS Alliance to share practise about LOCKSS and other initiatives to improve policy and value for long term preservation of e-journals	High
Publishers/publishers' organisations		
Including commercial publishers and Association of Learned and Professional Society Publishers (ALPSP)	UK LOCKSS Alliance members wish to ensure continuing access to published content. Libraries need to communicate their needs to publishers and work with publishers to develop a model that is acceptable to both.	Medium
Preservation agencies		
	UK LOCKSS Alliance wishes to share practice and policy in order to develop library journal	Medium

	preservation infrastructure and strategy. Communicating and working with current preservation agencies will be important in doing so.	
Other stakeholders		
JISC Collections	JISC Collections delivers online content to UK education and research. E-journals form an important part of the content. JISC Collections may contribute to publisher negotiations for inclusion in LOCKSS.	High
Organisations such as UKSG, RLUK	Organisations that represent those involved in such as serials management, or services for the research library community	Medium

7 RISK ANALYSIS

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
Staffing				
Level of staffing, and appropriate skill set	2	5	10	Monitor progress carefully against the plan, identifying possible delays and new skills as soon as possible
Organisational				
Working with external bodies (such as the Stanford LOCKSS team, or JISC Collections) proves difficult	1	5	5	Communication and understanding between members of the Steering Committee has been good so far. The same is true between Stanford LOCKSS and EDINA, and EDINA / JISC Collections. This will be maintained through regular and prompt communications.
It proves difficult to encourage activity from the steering committee.	2	5	10	Coordination of the Steering Committee will be undertaken by EDINA, with activity executed through a communication/strategic plan. When support / recommendations are required, key individuals will be approached directly.
Member librarians are not able or interested in	3	5	15	Library contributions should directly benefit the libraries – with benefits clearly identified from the outset.

Risk	Probability (1-5)	Severity (1-5)	Score (P x S)	Action to Prevent/Manage Risk
contributing to the community aspects of the UK LOCKSS Alliance.				
It proves difficult to engage with national and international bodies to develop policy	3	4	12	Identify clear objectives and advantages of shared action.
Technical				
Difficult/time consuming to develop plugins for new publishers.	2	4	8	Good communication between EDINA, Stanford LOCKSS and publishers to establish requirements and agree timescales for solutions.
Required features prove difficult/time consuming to implement (including access via link resolvers).	2	5	10	Prioritising developments will support allocation of appropriate resources. Ongoing monitoring will allow additional resource or examination of alternative technical approaches in order to maintain the development schedule.
Publishers				
Publishers are unwilling to participate.	2	5	10	Undertake ongoing negotiation with publishers, with activity led by UKLA Steering Committee and JISC Collections

8 STANDARDS

Name of standard or specification	Version	Notes
LOCKSS http://www.lockss.org <i>The UK LOCKSS Alliance members will use the LOCKSS software.</i>		
OpenURL http://www.niso.org/kst/reports/standards?step=2&gid=&project_key=d5320409c5160be4697dc046613f71b9a773cd9e OpenURLs will be used to access content preserved in LOCKSS		

9 TECHNICAL DEVELOPMENT

Workpackage 6 of the project proposal (see section 15) is concerned with the ongoing technical development of LOCKSS. Combined with the

general activities of the UK LOCKSS Alliance, a developer based at EDINA will dedicate 0.4FTE towards LOCKSS development and support activities.

The UK LOCKSS Alliance will review the technical infrastructure of LOCKSS, how LOCKSS integrates with library systems, and of other systems and approaches that support continuity of access to electronic journal content. Review could consider, for example, the advantages of establishing LOCKSS boxes on-site at the two national data centres (EDINA and Mimas) in order to provide an additional layer of redundancy and stability to the UK LOCKSS Alliance approach.

10 INTELLECTUAL PROPERTY RIGHTS

Known IPR issues are specified and handled in the terms and conditions agreed by an institution when joining the UK LOCKSS Alliance. New IPR matters that arise over the course of the project will be considered and addressed with relevant agreements or policies (for example, this may include IPR issues related to the use and storage of library archives within PLNs).

PROJECT RESOURCES

11 PROJECT PARTNERS

EDINA is the main partner with Peter Burnhill (Director, EDINA) continuing as a Director of PEPRS.

Workpackage 3 of the project proposal (see section 15) is concerned with outreach into the national and international policy arena, and consideration will be given during the project how best to forge links. This may involve inviting appropriate organisations to become Associate partners.

The UK LOCKSS Alliance Support Service receives strategic advice and guidance from LOCKSS colleagues based at Stanford University.

The Steering Committee to govern the UK LOCKSS Alliance has been established and will contribute input to many of the work packages described in this project plan.

The Steering Committee is comprised of librarians participating in LOCKSS along with a representative from JISC Collections. The current membership is:

- Phil Adams (De Montfort University)
- Lisa Cardy (London School of Economics)
- Geoff Gilbert (University of Birmingham)
- Tony Kidd (University of Glasgow)
- Liz Stevenson (University of Edinburgh)

- Lorraine Estelle (JISC Collections)
- Peter Burnhill (EDINA, University of Edinburgh)
- Adam Rusbridge (UK LOCKSS Alliance Coordinator)

The Steering Committee will meet twice per year, nominally in late autumn and spring.

12 PROJECT MANAGEMENT

Adam Rusbridge will carry out day-to-day management for the project. Colleagues in EDINA (such as Christine Rees, Bibliographic and Multimedia Services Team Manager, and Andrew Bevan, User Support Deputy Team Manager) will provide additional support and guidance.

The UKLA Coordinator will maintain regular contact with the LOCKSS development team at Stanford through weekly discussions surrounding development and monthly strategic discussions.

NAME	ROLE(s)	CONTACT DETAILS
Peter Burnhill	Director	Tel: 0131 650 3301 Email: p.burnhill@ed.ac.uk
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13 PROGRAMME SUPPORT

It would be useful to forge strong links with the proposed JISC 'e-Journal Archiving Implementation Group', possibly having UK LOCKSS Alliance representation on the group.

Strategic guidance and feedback from the programme manager would be welcome, but no specific support is requested.

14 BUDGET

	1 Aug 10 - 31 Jul 11		1 Aug 11 - 31 Jul 12		1 Aug 12 - 31 Jul 13	
	FTE	Total	FTE	Total	FTE	Total
Staff costs						
EDINA						
LOCKSS Alliance Management	0.2	£8,825	0.2	£9,408	0.2	£9,737
Technical Support/Cover	0.3	£9,563	0.3	£10,194	0.3	£10,868
User Support Management	0.1	£5,590	0.1	£5,785	0.1	£5,988
User Support	0.25	£11,031	0.25	£11,760	0.25	£12,171
Sub total staff	0.85	£35,008	0.85	£37,147	0.85	£38,764
Non staff costs						
Travel & Subsistence		£5,000		£5,000		£5,000
Event costs (rooms/speaker travel & subsistence)		£5,000		£5,000		£5,000
Sub total non-staff		£10,000		£10,000		£10,000
Total Directly Incurred Costs		£45,008		£47,147		£48,764
Indirect @ 100%		£42,050		£42,050		£42,050

Indirect and estates requested from JISC		£24,503		£24,503		£24,503
Total project cost		£87,058		£89,197		£90,813
Total requested from JISC		£69,512		£71,650		£73,267
Institutional contributions		£7,225		£7,225		£7,225

Initial draft