IDEALS PROJECT CHARTER

Project Name: Illinois Digital Environment for Access to Learning and Scholarship (IDEALS) Initiative

Executive Sponsors: Paula Kaufman, University Librarian
Pete Siegel, CIO
Jesse Delia, Provost
Agents:
Mike Grady, CITES
Beth Sandore, Library

Project Manager: Sarah L. Shreeves

Initiative Description

The upsurge in digital scholarship affects many aspects of the academic enterprise, including how we record, evaluate, preserve, organize and disseminate scholarly work. The result has left the Library with no ready means by which to archive digitally produced publications, reports, presentations, and learning objects, much of which cannot be adequately represented in print form. Funded by the Provost, the Illinois Digital Environment for Access to Learning and Scholarship (IDEALS) Initiative is a joint six-year effort between the University Library and CITES to plan, implement, and integrate into the campus infrastructure institutional repository (IR) services to collect, preserve, and manage access to this important part of the University scholarly record.

Strategic Objectives, Alignment, and Benefits:

The IDEALS initiative has two overarching goals to be achieved within a six year timeframe:

- To create a reliable and easy to use repository service to preserve, manage, and provide persistent and widespread access to the digital scholarship faculty and students now produce; and
- To identify and implement a permanent framework that enables the campus to build the digital content of the IDEALS repository with contributions from faculty, students, departments, centers, and colleges.


- Goal II.E. – Supporting Changing Modes of Scholarly Communication (Action II.E.2)
- Goal II.C – Preserving Our Assets for the Future
- Goal II.B – Meeting Identified and Emerging Access Needs
- Goal III.D – Maintaining Our Information Technology Infrastructure
- Goal I.C. – Developing New and Innovative Services
- Goal I.E. – Engaging Our Public

The IDEALS initiative aligns with the mission of CITES “to provide innovation and leadership, in partnership with campus units, to help faculty, staff, and students realize the full potential of existing and emerging technologies” and falls under the strategic goals to “Lead the campus in the evaluation, adoption, and integration of new information and educational technologies” and to “Foster engagement of the campus community in all CITES endeavors.” (CITES Strategic Plan 2004-2008, http://www.cio.uiuc.edu/strategicplan.pdf).

The key benefits of this effort to UIUC are:

- Reliable and persistent access to the digital scholarship of faculty, students, and staff;
- A reliable digital archive of the digital scholarship of faculty, students, and staff;
- Creation of a digital environment that reflects the diversity of research and scholarship needs;
- The technical infrastructure to support the use and storage needs of the IR;
- Wider distribution of and access to the digital scholarship of the campus; and
- Opportunities to influence the direction of scholarly communication.
Deliverables

The key functional deliverables for the entire six-year project are:

- An actively used and well-integrated repository (IR) of the digital research output in a wide variety of formats with supporting metadata of the faculty, staff, and students at the University of Illinois at Urbana-Champaign;
- An easy to use service or set of services that provides reliable and persistent access to the digital research output of faculty, staff, and students at UIUC;
- A service or set of services that provides reliable storage and long term preservation of the digital research output of faculty, staff, and students at UIUC;
- An agreed upon set of metadata standards for the materials included in the IR;
- The capability to easily and securely ingest and export single and multiple items into the IR;
- Training and supporting documentation for both ingest into and use of the IR;
- Policy documents for the collections, rights, access issues, and services of the IR;
- A marketing and communication program to encourage use of the IR;
- The capability to produce a range of reports on the use of the IR (including both deposit and access) at appropriate levels of granularity;
- Partnerships with both internal and external organizations as appropriate to extend and improve the functionality and storage capabilities of the IR;
- A service or set of services that allows the sharing of at least the metadata with outside services (e.g. through an Open Archives Initiative data provider);
- The ability to integrate the IR with other technical infrastructures and services (e.g. rights management) as appropriate;
- A service and cost model for sustaining the IR and supporting infrastructure; and
- Regular evaluations of the IDEALS effort.

Stakeholders

Sponsors, Steering Committee, and Implementation Groups

Executive Sponsor, Paula Kaufman for the University Library
Executive Sponsor, Peter Siegel for CITES
Executive Sponsor, Jessie Delia for the Office of the Provost
Executive Sponsor, Richard Herman (Original funder of initiative)
  Role: Funders of initiative
        Campus-level communication, policy, and oversight of initiative
  Span: Lifetime of initiative

Agent, Beth Sandore, University Library
Agent, Mike Grady, CITES
  Role: Oversight and guidance for initiative
        Co-chairs of working group
        Agents for executive sponsors
  Span: Lifetime of initiative

Coordinator, Sarah Shreeves, University Library
Research Programmer, Tim Donohue, University Library
  Role: Day to day responsibility for implementation of IDEALS initiative
  Span: Lifetime of initiative
IDEALS Steering Committee

Role: Guidance on overall institutional policy and direction of initiative
Span: Lifetime of initiative
Members:
- Paula Kaufman (co-chair)
- Rob Pennington (NCSA)
- Peter Siegel (co-chair)
- John Unsworth (GSLIS)
- Richard Wheeler (Graduate College)

IDEALS Working Group:

Role: Guidance for the functional implementation of the IDEALS initiative
Span: Lifetime of initiative
Members:
- Lanny Arvan (CITES)
- Bob Burger (Library)
- Tim Donohue (Library)
- Mike Grady (CITES, co-chair)
- Cindy Ingold (Library)
- Joanne Kaczmarek (Library)
- Sue Lewis (CITES)
- Bill Mischo (Library)
- Bruce Rosenstock (LAS)
- Beth Sandore (Library, co-chair)
- Karen Schmidt (Library)
- Sarah Shreeves (Library)
- Peggy Steele (Library)
- Tom Teper (Library)

Advisory Groups

CITES Research Computing Advisory Board (RCAB)
Library Long Range Advisory Committee
Senate Committee on the Library
Role: Provide guidance and advice on the role of the IR in the campus infrastructure
Span: Lifetime of initiative

Technical Infrastructure

Grainger Engineering Library and Information Center (Contact: Bill Mischo)
Role: Provides technical infrastructure for IR software and storage for the institutional repository software for Phase 1
Houses the research programmer (full time) and coordinator (half time)
Span: Work concentrated in Phase 1 of initiative;
Storage shifted to the Systems Management Group (CITES) during Phase 2
IR software shifted to Systems Office (Library) during Phase 2

Systems Management Group (CITES) (Contact: Melissa Woo)
Role: Provide storage infrastructure and maintenance for the materials deposited in the IR
Span: Work concentrated in Phases 2 and 3 of initiative; Planning begins in Phase 1

Systems Office (University Library) (Contact: John Weible)
Role: Provide technical infrastructure for the IR software in Phases 2 and 3 of initiative
Authentication / access control?
Integration with library technical infrastructure
Support of web server
Production and Applications Group (CITES) (Contact: Allan Tuchman)
Integration and Software Engineering (CITES) (Contact: Mike Kramer)
Management Operations Group (CITES) (Contact: Stan Yagi)
  **Role:** Coordinate middleware integration (including access and authentication issues) between IR system and other campus technical infrastructure
  **Span:** Planning in Phase 1 of initiative; Work in Phases 2 and 3 of initiative

Educational Technologies (CITES) (Contact: Lanny Arvan)
  **Role:** Coordinate possible integration with educational technologies
  **Span:** Phase 2 and 3 of initiative

NCSA (contacts: Mike Folk, Michelle Butler?)
  **Role:** Collaborate on storage, description, and access to large scientific data sets; Collaborate on other storage issues
  **Span:** Phases 2 and 3 of initiative

**Metadata Development and Production**

Technical Services Division (University Library) (Contact: Lynn Wiley)
Digital Services and Development Unit (Contact: Nuala Koetter)
  **Role:** Provide guidance and (potentially) resources for metadata development; Advise and support metadata production during deposit progress
  **Span:** Lifetime of initiative

**Digital Preservation**

Digital Services and Development Unit (Contact: Nuala Koetter)
Preservation Librarian, Tom Teper
  **Role:** Provide advice and guidance on digital preservation issues
  **Span:** Lifetime of initiative

**Intellectual Rights Issues**

Office of Research Administration (Director Sharon K. Tipsword)
  **Role:** Handles intellectual property issues for the campus
  **Span:** Lifetime of initiative

**Collection Development and Selection**

Karen Schmidt (University Library)
  **Role:** Oversight of collection policy
  **Span:** Lifetime of initiative

Departmental Librarians (University Library)
  **Role:** Selection of material for the IR
  **Span:** Lifetime of initiative

University Archives (Contact: Bill Maher)
  **Role:** Repository for the office records, publications, and personal files (mostly paper) of University offices, faculty, students, and student groups; Overlapping mission with the IDEALS initiative
  **Span:** Lifetime of initiative

**Front End Service Development**
Bob Burger (University Library)
  Role: Identifying services appropriate for the IR
         Fitting the IR into the Library’s broad services
  Span: Lifetime of initiative

Reference Librarians (University Library)
  Role: Identifying services appropriate for the IR
         Fitting the IR into the Library’s broad services
  Span: Lifetime of the initiative

Communication with Faculty and other Stakeholders

Cindy Ingold, IDEALS Faculty Liaison (University Library)
  Role: Communicates with faculty about the IDEALS initiative
         Advocate for the IR
  Span: Lifetime of initiative

Scholarly Communication Librarian, Katie Clark (University Library)
  Role: Communicates with faculty on scholarly communication issues;
         Coordinates communications with IDEALS initiative
         Advocate for the IR
  Span: Lifetime of initiative

Departmental Librarians (University Library)
  Role: Identify potential depositors for the IR
         Advocate for the IR
  Span: Lifetime of initiative

Executive Sponsor, Jessie Delia for the Office of the Provost
  Role: Advocate for the IR with reporting units
  Span: Lifetime of initiative

Vice Chancellor for Research, Charles F. Zukoski
  Role: Advocate for the IR with reporting units
  Span: Lifetime of initiative

Depositors (including faculty, staff, and students):

Academic Units (Reporting to the Provost)
  - Beckman Institute
  - University Library Faculty

Colleges and Instructional Units (Reporting to Provost)
  - College of Agricultural, Consumer and Environmental Sciences (Dean Robert A. Easter)
  - College of Applied Life Studies (Dean Tanya M. Gallagher)
  - Institute of Aviation (Director C. Elaine McCoy)
  - College of Business (Dean Avijit Ghosh)
  - College of Communications (Dean Ronald Yates)
  - College of Education (Dean Susan Fowler)
  - College of Engineering (Interim Dean Ilesanmi Adesida)
  - College of Fine and Applied Arts (Dean Kathleen F. Conlin)
  - Graduate College (Dean Richard P. Wheeler)
  - Institute of Labor and Industrial Relations (Director Peter Feuille)
  - College of Law (Dean Heidi M. Hurd)
  - College of Liberal Arts and Sciences (Acting Dean Sarah C. Mangelsdorf)
Research Units (Reporting to the Vice Chancellor for Research)

- Program on Ancient Technologies and Archaeological Materials (Director Sarah Wisseman)
- Biotechnology Center (Director Jonathan Sweedler)
- Center for Advanced Study (Director William T. Greenough)
- Institute for Genomic Biology (Director Harris Lewin)
- NCSA (Director Thom Dunning)
- Scientific Surveys

**Users of the IR**

**Executive Sponsor, Jessie Delia for the Office of the Provost**

**Role:** Promotion of research and scholarship taking place on campus  
**Span:** Lifetime of initiative

**Reference Librarians (University Library)**

**Role:** Search for relevant collections on campus  
**Span:** Lifetime of initiative

**Academic Units, Colleges, Schools, and Departments**

**Role:** Promotion of research and scholarship  
Recruit faculty  
**Span:** Lifetime of initiative

**Faculty**

**Role:** Find relevant research and scholarship  
Find potential collaborators on campus  
**Span:** Lifetime of initiative

**Graduate Students**

**Role:** Find relevant research and scholarship  
Find potential collaborators on campus  
Find faculty to work with  
**Span:** Lifetime of initiative

**Undergraduate Students**

**Role:** Find relevant research and scholarship  
Find faculty to work with  
**Span:** Lifetime of initiative

**Graduate College and Admissions Offices**

**Role:** Educate potential students of the scholarship and research occurring on campus  
**Span:** Lifetime of initiative

**Office of Public Affairs**

**Role:** Raise awareness of the scholarship and research occurring on campus  
**Span:** Lifetime of initiative

**Office of Campus Development and other development offices**

**Role:** Raise awareness of the scholarship and research occurring on campus  
**Span:** Lifetime of initiative
Outside service providers and harvesters (e.g. OAI service providers, Google Scholar, etc.)

- **Role:** Harvest metadata made available through the IR
  - Include in development of outside services

- **Span:** Lifetime of initiative

---

**Scope Statement**

*Note:* The scope statement for an initiative this size is necessarily quite broad. As work continues on the IDEALS initiative, the scope statement will likely change and out of scope activities will be clearer.

**In-Scope**

Coordinator, research programmer, and working group (as well as appropriate stakeholders) are responsible for:

**Project management and planning**
- Development of an implementation plan including deadlines for each phase of the IR
- Assessing implementation plans on an ongoing basis and adjusting as needed
- Clear communication on the progress and process of the IDEALS initiative

**Software implementation, customization, deployment, and maintenance**
- Implementation and customization of DSpace and other required IR software as required to meet defined needs of the IDEALS environment including:
  - Ingest and export mechanisms for single and multiple items into and out of the IR
  - Providing for persistent access to material deposited in the IR
  - Capability to produce a range of reports on the use of the IR
  - A service or set of services that allows the sharing of at least metadata with outside services
  - An accessible and easily navigated interface for both depositor and end user communities
- Public deployment of IR software in both test and production phases
- Integration of the IR software with other technical infrastructures and services on campus as appropriate
- Documentation of the implementation and customization work

**Internal communication and marketing**
- Regular active communication about project status with stakeholders
- Responding to questions and concerns about project from stakeholders
- Developing a plan to communicate with the campus about the project and its goals
- Marketing and promotion of the IDEALS initiative within the campus
- Responding to questions and concerns from the campus about the IDEALS initiative

**Populating the IR**
- A systematic survey of the UIUC campus to identify potential depositor communities and individuals
- Establishing appropriate workflows for ingest of material into the IR
- Identifying and partnering with early adopter communities and individuals to test and customize the IR software and IDEALS environment
- Developing effective strategies to integrate IDEALS into depositor workflows
- Identifying and implementing other strategies, including automated strategies, to populate the IR software

**Identification and development of services for depositors and end users**
- A needs analysis of potential depositors and end users to identify possible services to include in the IDEALS environment
- Prioritization of services for the IDEALS environment based on a cost benefit analysis and realistic assessment of the capabilities of the IR software
- Customization of IR software and environment to include identified services

Establishing a digital preservation program for the IR
- Defining the needs of the digital preservation program for materials in the IR
- Establishing ‘supported’ format guidelines
- Defining and implementing the technical and organizational requirements to meet these needs
- Making the digital preservation program and scope available to depositors

Training and documentation
- Developing and making public training material and documentation for depositors
- Developing and making public documentation for end-users (both front and back end)

Metadata
- Developing a minimum and full set of metadata standards for materials included in the IR
- Use of metadata and vocabulary standards whenever possible
- Identifying potential Library resources to draw on for metadata development
- Development of easy to use templates for metadata entry
- Exploration of automated means to collect and include metadata
- Public documentation of the metadata standards in use

Policies for collections, copyrights, access rights and services
- A collection policy for the IDEALS environment (including supported formats)
- Rights policy for depositors in the IDEALS environment
- Use rights policy for end users in the IDEALS environment
- Access rights policies for end users in the IDEALS environment
- Policies, if needed, for services developed for the IDEALS environment

External communication and marketing
- Promotion of the IDEALS initiative in appropriate forums
- Contact with outside service providers and harvesters
- Communication with the DSpace community

Evaluation
- Establish metrics to define success for each deliverable
- Regular evaluations of the IDEALS initiative and its progress in meeting the goals identified in the project charter
- Ongoing evaluation of how IDEALS fits into the UIUC campus environment
- Ongoing evaluation of the fit of DSpace to the needs of the IDEALS environment

Partnerships and Collaborations
- Identification of potential partners and collaborators to extend and improve the functionality and storage capabilities of the IR
- Maintenance of relationships with partners and collaborators
- Enabling externally funded research projects using the IR
- Establish relationships with other DSpace developers
- Join the DSpace Federation and contribute to the DSpace development effort

Development of service and cost model for ongoing support of IDEALS
- Ongoing assessment of resources needed for implementation, customization, and maintenance of IDEALS environment through the different phases and for different types of material

Out of Scope
The coordinator, research programmer, and working group are not responsible for:
- Digitization of materials or identification of funds to digitize material to include in the IR
- Funding departments or faculty to participate in the IR
- Contacting publishers for faculty for approval of submissions
- Development of services not directly relevant to the IDEALS environment
- Preservation of explicitly identified non-supported formats
- Preservation of materials not in scope for inclusion in the IR
- General marketing and education about scholarly communication and open access issues not specific to the IR
- General marketing and education about rights management issues not specific to the IR

Note: Some materials are out of scope for inclusion in the IR; the collection policy elucidates these.

Assumptions

- We will have continuing financial support as well as support in less tangible forms (such as advocacy) from executive sponsors for the six year duration of the project.
- We will have the infrastructure (both technical and organizational) to promote and maintain an institutional repository and meet the defined preservation policy and storage needs for the six year duration of the project. Infrastructure includes:
  - The institutional repository will continue in some form (see risks below) past the six year duration of the project.

Constraints

- Success of the institutional repository relies in many ways on the will of the campus and its faculty and staff to contribute to the institutional repository. While the IDEALS initiative will make every possible effort to advocate, promote, and build the institutional repository, the willingness of potential depositors to deposit is a constraint.

Risks

Building an institutional repository means that the Library and CITES are making a specific commitment to the campus and the depositors. Clifford Lynch sets forth this commitment:

> It's vital that institutions recognize institutional repositories as a serious and long-lasting commitment to the campus community (and to the scholarly world, and the public at large) that should not be made lightly. In establishing institutional repositories, institutions are both accepting risks and making promises; they are creating new expectations. In a budget crunch, the institutional repository may be one of the last things that can be cut, given the way that digital preservation demands steady and consistent attention and hence funding. Faculty who choose to rely on institutional repositories to disseminate and preserve their work are placing a great deal of trust in their institution and in the integrity, wisdom, and competence of the people who manage it. We need to ensure that our institutional repositories are worthy of this trust. (ARL Bimonthly Report 226. http://www.arl.org/newsltr/226/ir.html)

The risk that the IDEALS institutional repository will fail – whether from technical, organizational, or cultural reasons – is one that we must recognize. At the very least, we must ensure that we have an exit strategy in place that includes the preservation and maintenance of access to the materials submitted to the institutional repository in the remote chance of such a failure.

Risks that may precipitate the failure of the IDEALS institutional repository:

- Withdrawal of funding and other forms of support by the executive sponsors;
- Deficiencies in the technical and organizational infrastructure;
- Lack of buy-in and support, including less tangible forms of support such as advocacy, from...
- Lack of interest and support from potential depositors on campus; and
- Failure to gain the trust of potential depositors on campus for whatever reason.

Other risks include:

- The needs of specific groups of depositors (such as those with data sets, complex and interrelated objects) may not be met by the IDEALS implementation. There is a risk that we will need to turn certain groups away from the IDEALS environment particularly in the early stages of the project.