A Roadmap for Regional Collaboration
CNI – December 10, 2013

Deborah Ludwig, University of Kansas
Ann Campion Riley, University of Missouri, Columbia
Partners & Funding

- IMLS National Leadership Planning Grant
- University of Kansas, Grant Leadership
- Great Plains Network
- Greater Western Library Alliance
Greater Western Library Alliance

Joni Blake, Ph.D. Executive Director

- Consortium of 33 research libraries.
- Focus on cost-effective and high-quality information services and resources.

GWLA provides national and international scholarly leadership for learning and research
The Great Plains Network

Greg Monaco, Ph.D.
Director for Research & CI
- Consortium of over 20 universities in the Midwest, covering 8 states
- Partners to facilitate the use of advanced cyberinfrastructure (Gigabit point of presence – gigaPOP, for Internet2, network, storage, computation) for research computing

*GPN mission to provide outreach to the research & education community*
The University of Kansas

- Deborah Ludwig, Assistant Dean, KU Libraries (principal investigator)

- Bob Lim, Chief Information Officer

- Paul Farran, IT Chief of Staff

- Scott McEathron, Head of the Center for Graduate Initiatives & Engagement

- Nikki Potter, Grant Project Coordinator
Grant Steering Committee

Remaining Members of the Steering Committee:

Adrian Alexander, Dean of Libraries, University of Tulsa

Judy Ganson, Director of Collection Management Services & Systems, University of Arkansas Libraries

Rick McMullen, Director, Arkansas High Performance Computing Center

Ann Campion Riley, Associate Director of the Access, Collections, and Technical Services Division, University of Missouri Libraries
# The IMLS Grant - Teams

<table>
<thead>
<tr>
<th>Team</th>
<th>Members</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Advisory Council</strong></td>
<td>Deans, CIOs</td>
</tr>
<tr>
<td><strong>Steering Committee</strong></td>
<td>GPN, GWLA</td>
</tr>
<tr>
<td><strong>Working Groups</strong></td>
<td>Research Teams, Strategy Groups</td>
</tr>
</tbody>
</table>
The IMLS Grant

Purpose

To leverage collective strengths and create a proposal for a scalable and federated approach to the lifecycle management of research data based on the needs of GPN and GWLA member institutions.
Grant: 3 Goals

**Goal #1:** in-depth environmental scan [Oct 2-2012 – April 2013]

**Goal #2:** GPN and GWLA member forum and two-day workshop focused on understanding challenges and solutions in managing, sharing, and preserving research data. [May 2013]

**Goal #3:** Plan for a scalable multi-institutional approach to research data management to support. [June 2013 - ]
Environmental Scan (Goal 1)

1. Literature review
2. Technologies & Projects review
3. Survey of member institutions
The IMLS Grant – Lit. Review

1. General works on data lifecycle issues
2. Assessments of Researcher behavior, attitudes and needs
3. Services, roles and responsibilities
4. Sharing, reuse, publication and citation
5. Data management planning
6. Policies and standards
7. Institutional repositories, approaches, and issues
8. Disciplinary or subject repositories, approaches, and issues
9. Federated approaches
   • National and regional collaborations
   • International collaborations
10. Economics of data curation and conceptual and theoretical frameworks and approaches
11. Archiving and preservation
12. Metadata and description

(available from the D4 web site, http://imls.gwla.org)
Technical Reports

• Major Research Data Initiatives and Approaches to Curation
• Working Repository Examples (Institutional or Disciplinary)
• Repository Technologies
• MetaData Services & Schema
• Data Discovery / Access / Sharing
• Storage
• Preservation Services / Systems

(available from the D4 web site, http://imls.gwla.org)
Some universities provide services to support the use and management of research data. Please indicate by checking any or all boxes that apply what research data services are available at your institution and who is providing that service.

### General Support and Services for Research Data

<table>
<thead>
<tr>
<th>Service Description</th>
<th>University Library</th>
<th>Central IT</th>
<th>University Office of Research</th>
<th>Department or Research Center</th>
<th>Other</th>
<th>Not Available</th>
<th>Don't Know</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.01) Provides assistance to researchers in developing data management plans for research proposals</td>
<td>✔</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.02) Offers formal training (e.g. workshops or courses) for researchers on data management practices</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>✔</td>
<td></td>
</tr>
</tbody>
</table>
Survey Highlights

• Spring, 2013 to all GWLA / GPN institutions
  – multiple contacts (Dean, CIO, VPR)
  – 23 responses, 20 institutions

• Most common roles for Libraries
  – Data management plans & consultation on practices
  – Training & Workshops
  – Dedication of resources (staff, funding)
Survey Highlights

Most common roles for Libraries

– Data management plans & consultation on practices
– Training & Workshops
– Dedication of resources (staff, funding)
– Consulting on options for data licensing
– Consulting on data archiving (metadata, deposit)
– Identifying [remote] data repositories for archiving
Survey Highlights

Most common roles for Office of Research

– Ensure university compliance for research data in accordance with commercial licenses, government regulations, and funding agency mandates
Survey Highlights

Most common roles for IT

– Short & long term data storage
– High performance computing environments
Survey Highlights

Most commonly NOT offered by university:

– Repository on site to store metadata and data together
Survey Institutional Challenges

FUNDING FOR SUSTAINABILITY OF EFFORTS
   – Business model for costs
   – Funding for both the service provider and the researcher.

COORDINATED DECISIONS, POLICIES & ROLES
   – “everyone thinks its a good idea, but no one wants to take ownership”

AWARENESS OF ISSUES IN PRESERVATION & ARCHIVING

LACK OF TECHNOLOGY & INFRASTRUCTURE

RESEARCHER ATTITUDES

STAFF EXPERTISE
   – Not enough personnel to handle all of it.
   – Lack of knowledge and subject expertise with the actual data
Workshop & Forum (Goal 2)

Dr. Marilu Goodyear
- Director, KU School of Public Affairs & Admin.
- Former KU Chief Information Officer
- Former KU Associate Dean of Libraries

Dr. Noel Rasor
- Assistant Director, KU Public Management Center
Advisory Council Meetings, Kansas City
May 29-30, 2013

- Arizona State University
- Iowa State University
- Kansas State University
- Oklahoma State University
- Texas A&M
- University of Arkansas
- University of Colorado
- University of Kansas
- & Medical Center
- University of Missouri
- University of Missouri – KC
- University of New Mexico
- University of Oregon
- University of Tulsa
- University of Washington
- Wichita State University

Deans of Libraries, CIO’s, Chief Research Officers
I believe that research data issues should be addressed by:

A. Each individual campus alone.

B. Each individual campus with assistance from national and regional groups.

C. Regional groups should provide services to collaborating campuses, with each campus implementing the services they see as important.

D. National groups should take full responsibility.
## Potential Paths Forward

<table>
<thead>
<tr>
<th></th>
<th>Critical</th>
<th>Feasible</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Red</td>
<td>Blue</td>
</tr>
<tr>
<td><strong>The Argument</strong></td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td><strong>Funding Models</strong></td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td><strong>Business Requirements/Policy</strong></td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td><strong>Faculty Incentives</strong></td>
<td>8</td>
<td>0</td>
</tr>
<tr>
<td><strong>Data Management Plans</strong></td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td><strong>Discovery and Access</strong></td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>Storage</strong></td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td><strong>Education and Training</strong></td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td><strong>Preservation</strong></td>
<td>0</td>
<td>4</td>
</tr>
</tbody>
</table>


Red = critical
Blue - feasible
Data Summit Participants

• Name some things you would envision as elements of a good solution to issues of research data management at your institution.

• Name some stakeholders (people, positions or roles) that must be involved for efforts to succeed.

• Please share any ideas you have on how institutions could cooperate on data management and curation.
The IMLS Grant – Goal 3

**Goal #3:** Create and disseminate a plan for a scalable multi-institutional *approach* to research data management to support the university members of GPN and GWLA and advance this plan for funding. *

* “Endorse and support has been request to date.”
Grant Goal 3 – The Plan

3 Strategies

Strategy 1: Outreach, Education, & Training

Strategy 2: Strengthen Infrastructure

Strategy #3: Communication & Advocacy
Strategy #1 – Outreach, Education, Training

GWLA & GPN will offer a collaborative program of outreach, education, and training for member universities, addressing common institutional needs related to data management, data policy development, and best practices for data lifecycle curation.
# Potential Paths Forward

<table>
<thead>
<tr>
<th></th>
<th>Critical</th>
<th>Feasible</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Red</td>
<td>Blue</td>
</tr>
<tr>
<td>The Argument</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Funding Models</td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td>Business Requirements/Policy</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>Faculty Incentives</td>
<td>8</td>
<td>0</td>
</tr>
<tr>
<td>Data Management Plans</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Discovery and Access</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Storage</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Education and Training</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Preservation</td>
<td>0</td>
<td>4</td>
</tr>
</tbody>
</table>

### Strategy 1 Education, Training & Outreach

Areas of interest:
- library consultants
- data management skills
- common language
- Compliance
- researcher support before, during, and after
- basic records management
- links to tools for researchers
Strategy 2: Strengthen Infrastructure

Strengthen networked repository and storage infrastructure for data derived from research conducted by member institutions. Improve interoperability and opportunity between institutions, disciplinary organizations, and other research data hosts for working collaboratively with data and for access, archiving, and long-term preservation.
## Potential Paths Forward

<table>
<thead>
<tr>
<th></th>
<th>Critical</th>
<th>Feasible</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Red</td>
<td>Blue</td>
</tr>
<tr>
<td>The Argument</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Funding Models</td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td>Business Requirements/Policy</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>Faculty Incentives</td>
<td>8</td>
<td>0</td>
</tr>
<tr>
<td>Data Management Plans</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Discovery and Access</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Storage</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Education and Training</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Preservation</td>
<td>0</td>
<td>4</td>
</tr>
</tbody>
</table>

### Strategy 2 -- Strengthen Infrastructure

Initial dot voting did not seem to indicate that infrastructure was a pressing concern, but subsequent discussion and feedback from the advisory council advanced this as more important.

Survey results also indicated this area represents a gap for member institutions.
Strategy 2: Strengthen Infrastructure

- Working group formed. Interest in connecting efforts with SHARE. Initial focus on storage, and discovery / access.
Strategy #3 – Communication & Advocacy

Develop and execute a strategic communications plan and program of advocacy to advance member initiatives in data management and to advocate for data sharing as part of a greater ecology of scholarship.
Strategy #3 – Communication & Advocacy

Develop and execute a strategic **communications** plan and program of **advocacy** to advance member initiatives in data management and to advocate for **data sharing** as part of a greater ecology of scholarship.

Working group not yet formalized:

- Advocacy for SHARE proposal
- Communications via Twitter, Facebook, Web presence, Email lists
- Annual event, the *Big Data Summit* in Kansas City
- GWLA Exec. Director on SHARE communications working group
## Potential Paths Forward

### Critical  Feasible

<table>
<thead>
<tr>
<th></th>
<th>Red</th>
<th>Blue</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Argument</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>Funding Models</td>
<td>9</td>
<td>2</td>
</tr>
<tr>
<td>Business Requirements/Policy</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>Faculty Incentives</td>
<td>8</td>
<td>0</td>
</tr>
<tr>
<td>Data Management Plans</td>
<td>3</td>
<td>9</td>
</tr>
<tr>
<td>Discovery and Access</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>Storage</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Education and Training</td>
<td>0</td>
<td>7</td>
</tr>
<tr>
<td>Preservation</td>
<td>0</td>
<td>4</td>
</tr>
</tbody>
</table>

---

**Strategy 3**

Communication & Advocacy

- Administrative awareness;
- Ability to address “big issues;”
- Faculty issues;
- Costs;
- Prestige;
- Leadership & roles;
- Managing university assets
Vision for Services

• ...a community of research universities engaged together in discovering and mutually supporting best practices, training, education, and tools for the effective management of research data across their intended lifecycle.

• ...rooted in the larger ecosystem of existing and emerging national and international data data initiatives

• ...aligned with the research sharing efforts of ... other collaborative research data and publication hosts

• ...seeking to leverage the best ideas for research data management at scale
Connect with D4

Website:  http://imls.gwla.org

Twitter:  @DataFOUR

Facebook:  https://www.facebook.com/D4DataFOUR

Email List:  data@gwla.org.
    Send note to npotter@kgs.ku.edu to be added to email

Upcoming Event:  Big Data Summit 2
    May 28, 2014 in Kansas City, MO
Questions?
Contact US

Deborah Ludwig (dludwig@ku.edu)
Assistant Dean for Innovation & Strategy
University of Kansas Libraries

Ann Campion Riley (rileyac@missouri.edu)
Associate Director of the Access, Collections, & Technical Services Division
University of Missouri Libraries