Scholarly Annotation:
OAC Data Model Demonstration & Experiment Projects

RFP Schedule

RFP Available: **06 April 2011**
Letters of Intent Due (preferred): **26 April 2011**
Final Proposals Due: **COB 17 May 2011**
Awards: Successful Responders will be notified between **June 13 and June 27, 2011**
Period of performance of awards: **01 July 2011 - 31 March 2012**

Program Description:

The Board of Trustees of the University of Illinois has received an Award ("Prime Award") from the Andrew W. Mellon Foundation ("Sponsor") in support of a project entitled, "Open Annotation Collaboration (OAC) Phase II: Demonstration and Refinement." More information about the Prime Award project is available from http://www.openannotation.org/. The overarching goals of the Open Annotation Collaboration are:

1. To facilitate the emergence of a Web & Resource-centric interoperable annotation environment supporting annotation sharing across clients, tools, and collections.

2. To demonstrate annotation interoperability across settings characterized by a variety of annotation client/server environments, content collections, and scholarly use cases.

3. To seed widespread adoption by deploying robust, production-quality applications conformant with the interoperable annotation environment in ubiquitous and specialized services, tools, and content used by scholars.

Founding members of the Open Annotation Collaboration are

· Center for History and New Media, George Mason University
· Center for Informatics Research in Science and Scholarship, University of Illinois at UC
· Grainger Engineering Library & Information Center, University of Illinois at UC
· ITEE eResearch Lab, The University of Queensland
· Los Alamos National Laboratory, Research Library
· Maryland Institute for Technology in the Humanities, University of Maryland
· Office of Advanced Technology Research, JSTOR

The Prime Award includes funding for a limited number of sub-awards to collaborate with the OAC in conducting experiments and demonstration projects (a maximum of 4) that make use of the OAC Data Model for Interoperable Annotations (http://www.openannotation.org/spec) in the context of scholarly research and/or pedagogy. The OAC is seeking to collaborate with scholars and/or librarians currently using and/or curating established repositories of scholarly digital resources with well-defined audiences of scholars. The OAC intends to fund a set of projects that are complementary in content media type and use cases that leverage the OAC Data Model to the fullest extent, and that leverage existing annotation tools or at least have articulated an interesting scholarly annotation use case. Two of the successful Respondents will collaborate with OAC researchers at the University of Maryland and the other two will collaborate with OAC research at the University of Illinois at UC. (For these collaborations, Illinois and Maryland will provide guidance on the implementation of the OAC data model and ontology, help in defining extensions of the data model that might be necessary, advice on existing tools that might be adaptable for the demonstration experiment, feedback on correctness of mappings from/to native annotation formats and/or annotations created.)

Funding Available:

Grants of between $30,000 and $45,000 will be awarded to each successful Respondent to support collaboration with the OAC (budget for Illinois and Maryland researchers involved in these collaborations is already allocated in the Prime Award). Funds are to be expended over a maximum of 9 months beginning 1 July 2011. Funds are to be spent primarily on project staff salaries and benefits. Since we are seeking projects that will work with established repositories of digital content, funds will not be made available under this RFP for digitization, and respondents are discouraged from seeking funds for computer equipment or software. Each Respondent receiving an award will be invited to send 1 team member to an OAC technical review panel planned for early 2012; award funds may be expended to reimburse reasonable travel expenses incurred by project representative to attend this panel; requests for additional travel funding are discouraged. It is a condition of the Prime Award that funding not be spent on student tuition remission, overhead, indirect costs (e.g., ICR), or the equivalent; please see discussion under "Budget" on the Andrew W. Mellon Foundation's Scholarly Communications & Information Technology Program Proposal Guidelines Web page (http://msc.mellon.org/guidelines/proposal-guidelines).

The OAC is especially interested in funding projects demonstrating the benefits of annotation interoperability and a shared data model of annotation, e.g., proposals for work that addresses practicalities such as the following that have been recognized as of priority by the OAC:

- Viable methods for identifying arbitrary segments of text as annotation targets or bodies
- Use cases involving annotations that propagate across formats and/or FRBR entities
- Demonstrations of annotation portability, e.g., device and resolution independence
- Implementations that incorporate provenance, fixity, and/or target context into annotations
- Strategies for mapping from existing native formats for annotation to the OAC data model
- Use cases demonstrating the relevance of OAC to Social Reading, etc.

- Logic for dealing with alternate constraints and supporting graceful fall back
- Experiments examining the practical utility of annotation and/or constraint typing
- Use cases involving complex, structured bodies
- Experiments focusing on interoperability across disciplines
- Demonstrations examining architecture issues and/or annotation discovery issues
- Use cases involving moderate to large audiences and/or demonstrating the use of OAC with ubiquitous applications

Eligibility:

Grants awarded through this RFP will be made to the institution, not to the individual project director. Not-for-profit research libraries, digital humanities centers, institutions of higher learning, and other 501(c) entities involved in the preservation and/or dissemination of cultural heritage or scholarly information resources are eligible to apply for and receive awards through this RFP. Eligible entities may partner with commercial entities when submitting a response to this RFP, but only if the non-profit entity is the lead institution, and only if the commercial entity agrees to be bound by the constraints of the terms and conditions outlined below, including those pertaining to intellectual property rights regarding results of the research conducted using award funds.

Pre-Requisites:

Project proposals submitted in response to this RFP must establish that adequate content, community, and technical infrastructure are in place to support the proposed work. Specifically, viable proposals must describe:

1. The existing collection or collections of digital scholarly information resources that will provide targets (and possibly bodies) of annotation.

2. The primary audience of scholarly users that have an interest in and access to the collection or collections.

3. How proposed project will implement (with support from OAC) the OAC data model or implement mapping to and from the OAC data model; each project is expected to provide to the OAC samples of annotations conforming to the OAC data model, whether created directly or through mapping.

A preference will be given to project proposals that include as active participants scholarly users for the collection or collections that will be leveraged, or that include as active project participants individuals who are involved in the active management and curation of the collection or collections. Preference will also be given to project proposals that aim to increase collection use. Collaborative proposals are encouraged, for example involving a partner with content and a partner with a clear annotation use case and audience. Projects encompassing rendering, presentation, and/or data mining of annotations will be preferred.

Intellectual Property Terms and Conditions:
(http://www.openannotation.org/documents/openAnnotationIP_Agreement_forRFP.pdf)

The Sponsor and the OAC are committed to making high-quality digital scholarly resources and digitally-based scholarly services as broadly available as possible for educational and cultural heritage scholarly purposes. Accordingly it is an intent of the Prime Award and all sub-awards made through this RFP that all modified and/or derivative software products, source codes, processes, tools, techniques, architecture, prototypes, and/or related documentation (collectively "Software") and all reports, evaluations, analyses and other documents (i.e., in addition to Software documentation), prepared in connection with or otherwise relating to the Project (collectively, "Documents") be used for the greatest possible educational benefit. It is a requirement therefore that all Software developed over the course of the Prime Award and all sub-awards be made available through appropriate open-source licensing (e.g., the Educational Community License, Version 2.0 [http://opensource.org/licenses/ecl2.php]), with Documents released under an appropriate Creative Commons License (e.g., the CC Attribution-NonCommercial-ShareAlike 3.0 Unported license [http://creativecommons.org/licenses/by-nc-sa/3.0/]).

Pursuant to these aims, project proposals submitted in response to this RFP:

1.   Must identify any pre-existing Software or annotation data structures on which tools, services, or other software created or developed as part of the proposed project will be based or from which tools, services, data structures, or other software created or developed as part of the proposed project will be derived.

    a.   If any such pre-existing Software or data structures are identified, they must be in the public-domain or available to members of the educational and charitable cultural heritage community on a royalty-free basis, pursuant to an open source license, pursuant to the open source principles set forth on opensource.org. This availability must be confirmed prior to execution of the award, receipt of any funds, and the commencement of any work on the proposed project, and the name and a copy of the open source license(s) under which pre-existing software that will be exploited during the proposed project must be included in the proposal submitted. Respondent also must commit in the proposal submitted to make available all derivative Software created or developed in the course of the proposed project under the same or equivalent open source license(s).

    b.   If no pre-existing Software will be relied on in the proposed project, in other words, if the Respondent intends to develop all experimental and prototype annotation tools starting from scratch, then the proposal submitted must identify and include a copy of the open source license that will be used to make available Software created over the course of the proposed project. For proposed projects not utilizing pre-existing software, the Educational Community License, Version 2.0 (http://opensource.org/licenses/ecl2.php) is recommended.

2. Must include the agreement of the Respondent's institution (and any partner institutions involved in the proposed project) to abide by the Intellectual Property Terms and Conditions attached hereto (http://www.openannotation.org/documents/openAnnotationIP_Agreement_forRFP.pdf). Sub-awardee agreement is a requirement of the Prime Award and cannot be waived. Evidence of Respondent's agreement will be inclusion with the proposal submitted of a copy of the Intellectual Property Terms and Conditions attached below signed by a cognizant official of the Respondent's institution (and any partner institutions) with authority to execute this agreement.

Other Terms & Conditions:

Successful Respondents may be required to provide standard Institutional Representations and Certifications and will be required to abide by University of Illinois at Urbana-Champaign requirements for sub-award Certifications, Clauses, and/or Regulations in effect at the time sub-award is executed. Current examples of these terms and conditions can be supplied on request.

In addition, a formal Statement of Work including a listing of Outcomes / Deliverables and detailed Budget will be generated from the proposal submitted, agreed to by all parties, and incorporated as part of the executed sub-award contract between the University of Illinois at UC and each successful Respondent to this RFP.

Any sub-award resulting from a response to this RFP will be issued on a cost reimbursable basis.

Proposal Submissions:

For full consideration, an electronic copy of the complete proposal must be submitted by the Close of Business (Central Time Zone U.S.) on Tuesday May 17, 2011, and must include the following elements:

1. Proposal Cover Sheet following the style of the template at http://msc.mellon.org/guidelines/proposal_cover._sheet.docx

2. Transmittal cover letter on institutional letterhead from the proposed project PI or other appropriate officer of the Respondent institution.

3. An Executive Summary succinctly describing the gist and objectives of the experiment in a half page or less (350 words maximum).

4. Proposal narrative (maximum 7 pages). This narrative summarize the rationale for the proposed demonstration experiment involving the OAC data model, addressing how the proposed work will allow the exploration of a compelling annotation use case or set of use cases and how it will demonstrate and advance the overall goals of OAC (see above). Be sure to clearly identify the existing project and repository context and the personnel (by

name and title) who will work with OAC to implement the proposed demonstration, if funded. It is suggested to include one or two concrete illustrations of the kinds of annotation challenges for the OAC data model posed by this domain. The narrative should include descriptions of:

   a. the existing digital collection(s) that will be exploited

   b. any conditions of use on the digital collection(s) that limit content access generally

   c. the scope and expected deliverables from annotation tool building/development and any other technical work that will be done as part of the proposed demonstration; *any plans to leverage pre-existing code must be described here and intellectual property issues addressed (see discussion of IP Terms and Conditions above)*

   d. how user requirements, and if applicable, user feedback will be gathered

   e. how the group proposing the work is well positioned to carry out this demonstration or experiment involving the OAC data model

5. Budget and budget justification (i.e., how the budgeted resources are needed to achieve project goals and objectives). Salary, benefits, and level-of-effort over the course of the proposed project should be called out in the budget explicitly for each proposed project participant. Any budget request not paying for project participant salary must be clearly and fully detailed and must be defended in the budget justification. In-kind contributions are encouraged (but not required); any planned in-kind contributions should be described here.

6. Signed Intellectual Property Terms and Conditions agreement (http://www.openannotation.org/documents/openAnnotationIP_Agreement_forRFP.pdf).

7. Project participant bio-sketch or CV (max 2 pages each) for each proposed project participant; these should demonstrate adequate and appropriate expertise and provide the review panel an indication of investigator track record on prior grants in this or similar domains.

For these proposals other supporting documentation (letters of support, etc.) will not normally be needed and are not expected. Should you want to include any supporting documentation as part of your proposal, please limit extent (10 pages maximum) and include all supporting documentation collated into a single PDF file.

Proposals should be submitted electronically as a single zip file containing all proposal elements to oac2rfp@support.lis.illinois.edu (rev. JGJ – 4/26/11) Each proposal element (cover sheet, letter of transmittal, summary & rationale, narrative, budget & budget justification, IP terms & conditions, bio-sketches) should be a separate file. Acceptable formats for proposal elements are PDF and MS Word (.doc or .docx).

Final Reporting Requirements:

PIs will be required to submit a final project report (PDF format preferred) detailing accomplishments and findings with 30 days of completion of the Project. These reports will be

provided to the Sponsor and made public on the OAC Website. See also the reporting guidelines at: http://msc.mellon.org/guidelines/reporting-instructions

Projects also will provide links to and/or copies of all Software and Documents created during the course of this project. In lieu of maintaining these materials online for 3 years at Respondent's institution, if electronic copies are provided, The University of Illinois Library will undertake to maintain these resources online and accessible for 3 years from project completion, in accord with Sponsor requirements.

Projects will also provide copies of or links to any publications generated in conjunction with this project.

Review & Selection Process:

RFP responses will be evaluated and the selection of proposals to be funded will be made by the OAC Phase II Principal Investigators in consultation with the OAC Phase II Advisory Board. Criteria for ranking proposals will include congruence of OAC and proposer objectives, confirmation of pre-requisites for a focused scholarly annotation experiment of appropriate scale and scope (as outlined above), track record of proposer, and assessment of likely potential that experiment / demonstration will further the goals of OAC and has potential to be sustained. We will also select a set of 4 annotation demonstration experiments that are complementary one to another in terms of data modeling challenges, range of formats explored, maturity of digital content and maturity of annotation needs of discipline or community involved. We anticipate that at least 2 of the projects will be humanities discipline based, but as deemed appropriate by the review panel 1 or 2 of the projects may focus more on the sciences and/or on the general problem of Web. A goal of the selection process will be a set of demonstrations that explore requirements different one from another and complementary to annotation needs and requirements being explored annotation demonstration experiments already in progress as part of OAC Phase II at the time of this RFP.

This RFP is available on the Web at:
http://www.openannotation.org/documents/openAnnotationRFP.pdf
The IP agreement attachment to this RFP is available at:
http://www.openannotation.org/documents/openAnnotationIP_Agreement_forRFP.pdf
A FAQ about this RFP is available at: http://www.openannotation.org/RFP_FAQs.html

Questions: regarding any details of this RFP should be emailed to oac2rfp@support.lis.illinois.edu; answers to substantive questions from individuals will be posted immediately on the RFP FAQ page mentioned above (so as to available to all proposers).

6 April 2011