

Building the Enablement Team: the DiSSCo technical community

Step 1:

Establishing a communication channel through the identification of institutional moderators

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1 Introduction

DiSSCo will implement a modest soft start of its operations and e-Services in 2024, and achieving this milestone will require that design and development of core software components begin in early 2021. During the same timeframe, it will be essential for DiSSCo institutions to embark upon a **digital transformation** to achieve a minimum level of interoperability with DiSSCo operations and e-Services, necessary for DiSSCo e-services to become operational. This digital *transformation* may involve **technology, people** and **processes**.

As a first step it is necessary to identify people in the institutions with which we can communicate on an operational level. This allows us to get a better understanding of the current technical capabilities and needs, which can later be used to support the institutions in development of custom plans tailored to their situation to become integrated with DiSSCo on an operational level. It also creates a DiSSCo technical community, the Enablement team. The identified people will be part of this. The establishment of a DiSSCo technical community will also allow dissemination and engagement activities with representatives from the institutions on an operational level.

2 Strategy towards digital transformation

Digital transformation to achieve interoperability with DiSSCo operations and e-Services will need local resources. Depending on the resources available and other circumstances, each institution will need to decide individually at which speed and level this can be done. The institution may also decide to provide a higher or lower service level of digital and physical access to the collections.

At a minimum level it is needed though to have an individual identified in each institute who acts as an institutional moderator, able to communicate at operational level with the national node (if in place) and able to provide information needed for DiSSCo services such as a description of the institution, its collection holdings and available digital data.

Building on DiSSCo Prepare project outputs, the DiSSCo Coordination and Support Office (CSO) is developing an overall strategy to implement the transformation in a measured way that addresses each institution's unique circumstances. National Nodes, when established, will have as part of their responsibilities the coordination of the communications on operational level between the local institutions and the wider DiSSCo consortium. This will enable the National Nodes to take a leading role in their country to coordinate and guide the national development towards digital transformation needed for participation in the DiSSCo infrastructure.

Since there is a big difference between small and large institutions in terms of what is needed and possible to establish digital transformation, also with respect to the number of people

involved (a single person, or a whole local enablement team), the CSO advises the nodes to use different messages for small and large institutions. It is up to the national nodes to identify which message works best for which institution in their country.

3 Grouping of DiSSCo partners

A DiSSCo partner is an entity who has signed the DiSSCo Memorandum of Understanding. Each partner is required to assign a person or persons the role of institutional moderator to act on their behalf on an operational level in the DiSSCo infrastructure. For communications the CSO distinguishes between two groups.

Group 1:

- Partners that are NOT part of a national node. The CSO will communicate with their institutional moderators directly.

Group 2:

- Partners that ARE part of a national node. The CSO will communicate with these partners through their national node.

For large institutions being national nodes it may be needed to separate communication roles and administrative roles over different people (see the next section for a definition of roles). In that case the institutional moderator will be responsible for the administrative role and another person will have a role as communications officer. The CSO and partners in the national node will then communicate with the communications officer rather than with the national node's institutional moderator directly.

4 Definition of roles

At a minimum, each institution needs to appoint a person the role of institutional moderator. It is advised to have a second person appointed to act as institutional moderator when the first person is not available (on a leave) to make sure that there is always someone who can be contacted. If the institution is part of a university, one person can be the institutional moderator for multiple institutions within the university.

If the institution has resources to build an enablement team, there also needs to be an enablement team lead. One person can be both institutional moderator and enablement team lead. Additional persons in an enablement team can be a communication officer, who takes over communication responsibilities from the institutional moderator, and a data officer who is responsible for data quality and the data strategy.

An overview of the roles:

- **Institutional moderator** – facilitates DiSSCo e-Services operation and use, and contributes to development with information about institutional capacities and user needs. For example, the moderator assigns user roles for services, maintains the institutional profile metadata (facilities, collection descriptions etc.), and coordinates institutional responses to DiSSCo surveys about capacities, expertise, training, software systems etc. This role also coordinates and supports the identification of user needs for new DiSSCo functionality or e-Services and is the technical contact for DiSSCo.
 - **Communications officer** - in a large institution being a national node the Communications officer may take over the role from the institutional moderator to be the primary technical contact and is responsible for communications at operational level between the CSO and the node, and operational communications with the national partners. The communications will be related to achieving digital transformation (putting technology, people and processes in place) and operation of services. This may be a different person from the node representative responsible for strategic communications and participating in the National Nodes meetings with the CSO.
- **Enablement Team lead** – institutional contact for DiSSCo's digital team for communications related to digital transformations and responsible for leading the digital transformation in the institution. The person in this role will need to build close relationships with the national node and connect the institution's digital team with DiSSCo's future distributed digitisation and development teams.

ON THE HORIZON In the future, there will also be a need for a **Data Officer** role. The role will oversee a range of data-related functions including ensuring data quality and creating a data strategy. This role would fit well with a person that also has a role as data steward (recommended in EOSC), or with a role in data analytics and business intelligence.

5 Responsibilities

An overview of tasks and responsibilities for the Institution moderator and some other roles in a partner institution is given in the table (RACI matrix). Additional roles displayed are just an example. There may be more or less roles involved than given in the overview. Over time the responsibilities may need to be adapted to changes in DiSSCo. New tools such as the DiSSCo Helpdesk or Knowledge Base may influence the responsibilities.

Task	Institutional moderator	Enablement Team lead	Head of collections	Head of ICT
Updates the NN and the DiSSCo contacts register when there are administrative changes in the organization such as changes in contact persons, change of address, etc.	R,A	I	-	-
Receives technical communications such as updates about development of DiSSCo e-services and distributes these in the organisation	R	I	I	I
Provides details about digital transformation in the organization such as the identification of people who will have a role in the enablement team.	R	I	A	A
Coordinates responses to DiSSCo questionnaires to inventory capability needs, current infrastructure in the facility or planned developments. Others in the organization may be needed to supply the answers for a questionnaire.	R, A	C	C	C
Establishes a mode of operation with the National Node (if existing). Some institutional responsibilities may be transferred to the National Node.	R	A	-	-
Provides details about digital transformation in the organization such as the identification of people who will have a role in the enablement team.	R	A	C	C
Leads the digital transformation in the institution and is the contact for the technical team.	I	R,A	C	C

R = Responsible, A=Accountable, C = Consulted, I = Informed

6 Resources

National Nodes are essential team players in the smooth and orderly development of DiSSCo's governance and infrastructure in their multifaceted role as representative, advocate, ambassador, coordinator, facilitator, and part-magician. DiSSCo will depend on their valuable services to help pave the road to its digital transformation.

The CSO kindly requests that you liaise with your institutions to:

- support institutions in their understanding of the roles and responsibilities of the Enablement Team,
- communicate the need and urgency to identify people in the institution that will organise and drive the transformation, and ensure positioning of the Enablement Team by 24 June 2020,
- identify improvements or shortcomings in the digital transformation process.

When a NN is not present, these responsibilities, including ensuring that the Enablement Team is in place by 24 June, fall to the individual Institutional Moderators.

Institutions will need to make resources available to start the digital transformation process. The minimum required is to assign an institutional moderator to establish communications and to provide information in support of DiSSCo e-Services.

The CSO proposes that national nodes and institutions do this as an in-kind contribution to the development of DiSSCo and record the time spent through Teamwork (the CSO has made Teamwork functionality available to capture this). The time needed will depend on the size of the institution. Larger institutions that are part of the DiSSCo linked projects can use their in-kind contribution in these projects.

7 Steps

1. Presentation of this plan for Identification of Institutional moderators to the National Nodes (in NN meeting 25 Feb 2021).
2. CSO provides a [shared Google spreadsheet](#) that all 120+ partners can use to communicate their institutional moderator(s). The form will allow the ability for NNs to monitor the status for the partners in their country.
3. NNs inform the partners in their country about the need to establish the role of institutional moderator in their institution and ask them to provide the information, and ensure this is completed by 23 April 2021. People will need to provide their own details and agree with the privacy statement.
4. NNs also inform the partners in their county about the need to take some small steps in the second half of 2021 to create the first connections with DiSSCo as described in

- appendix 1, and, for large institutions, the desire to identify an Enablement Team lead to start creating an Enablement team.
5. Institutions with capacities for DiSSCo related digital transformation in their institution add to the spreadsheet their Enablement Team Leads, to be completed by 24 Juni 2021.
 6. The list with contacts will be further maintained by the CSO (Tina Loo), in the future this may be maintained through the CETAF registry.

8 Frequency of communication

At least one questionnaire will be sent out annually to provide updates about the technical capabilities of the facilities and contact updates will need to be sent immediately, but reminders will be sent twice a year. Additional questionnaires will be needed in support of the DiSSCo prepare work packages and the DiSSCo technical team. The CSO strives to combine these as much as possible to keep the number of questionnaires within a year to a minimum.

For simple communications or small questionnaires an answer is expected within 10 working days (5 for the National Node which may want to customise the communication for the national facilities and 5 for the facility to respond). For complex questionnaires that will take more time, a deadline will be provided and responses will be on a voluntary basis, depending on the available resources.

The primary communication channel between the CSO and the National Nodes will be email. National Nodes may decide to use other communication channels with institutional moderators in their country. The CSO may also contact the institutional moderators directly to e.g. invite them to joint online events. This to achieve engagement and to establish a community of enablers, the DiSSCo enablement team. Other communication channels may be used as well to establish this community, such as the DiSSCo Slack channel for developers.

9 Privacy statement

The assigned individual must always fill-in their own contact details (name, email, roles) as it will confirm that that person has read and agreed with this privacy statement that will be included in the form:

The data will be maintained by DiSSCo CSO and may be processed by the National Nodes and by CETAF. The contact details will be used for communications within DiSSCo. The CSO may use the contact details to establish mailing lists or publish them in DiSSCo websites and services. The CSO may grant CETAF to process the data to publish contact details in CETAF websites and services. The data will not be sold to third parties or used for other purposes not described here. For questions please contact: info@discco.eu.

Appendix 1: Selecting the Institutional Enablement Team/Person

The *DiSSCo* Enablement Team is the sum of the individual Enablement Persons and Enablement Teams in the individual institutions,

The *Institutional* Enablement Team or Person will be the institutional entity responsible for promoting, supporting, implementing and maintaining the needed institutional technological changes and workflows to ensure the institution's alignment and (ongoing) interoperability with DiSSCo operations and e-Services. The person(s) fulfilling these responsibilities will also need to maintain good working relationships with their national node, in-house technical team, the DiSSCo CSO and DiSSCo's digitisation and development teams. In a small institution these responsibilities may be carried out by a single individual, but larger institutions may require multiple people to fulfill different facets of the roles.

The Institutional moderator and Enablement Team lead will begin the initial formation of the enablement team that should ideally include a person with curatorial background and a person with an IT background.

On the horizon: Enabling the first connections with DiSSCo

After the E-team or individual has been identified, the CSO will request that the institution take some early small steps ('micro changes' to be completed by the end of 2021) that will facilitate initial connection with DiSSCo operations and e-Services. For example, one of the requested micro changes will be for institutions to get [GRID and ROR identifiers](#). The micro changes will make it possible for an institution to start providing access to their collections through the [Collections Digitisation Dashboard](#), [ELViS](#) and other future e-Services and allow DiSSCo to start identifying and measuring its digital presence. It is anticipated that the micro changes will require minimal effort to implement (on average a day to a few days in total).

Core tasks in the Digital Transformation

The Institutional Enablement Team (E-Team) will perform the core tasks as described in the table.

Institutional Enablement Team core tasks

PLANNING and OPERATIONS		COMMENTS
<p>a Set-up and organize the E-Team</p> <ul style="list-style-type: none"> Identify key team members. The Enablement Team Lead is also the primary institutional contact for DiSSCo's future digital team and will lead the digital transformation, Delegate responsibilities, Establish and maintain working relationships with your organization, national node, the CSO and DiSSCo distributed teams to facilitate DiSSCo operations and e-services. Establish recurring meetings with the team and other stakeholders, Identify team training needs, Document these operating guidelines in the planning document (c) described below. 		
<p>b Assess integration potential</p> <ul style="list-style-type: none"> Evaluate status of institution in organization, policies, skills, communication, digital activities, and community support, Evaluate institutional collection management, loan management and laboratory information systems for integration potential and API capabilities, Document assessment outcomes in the planning document (c) described below. 		
<p>c Develop a customized plan for digital transformation, a roadmap, identifying the extent to which the institution will be able to support specific elements of DiSSCo operations and e-Services¹. The roadmap will be based on <i>the assessment of integration potential (b)</i>, and guidance from DiSSCo Prepare 3.1.2 Task Partners²,</p> <p>The roadmap should specify the scope, timeline, and strategies (challenges and solutions) needed to achieve the specified interoperability level using available resources. For example, one roadmap element will be to define the extent to which the institution will be able to support physical or digital access requests with available resources giving consideration, when applicable, to:</p>		<p>¹ The elements to address in the roadmap and corresponding technical requirements will be specified later.</p> <p>² Once the Enablement Team/Person has been identified, DiSSCo Prepare 3.1.2 partners will support the institutions in building a custom enablement strategy using</p>

<ul style="list-style-type: none"> • required organizational changes to align with DiSSCo, • required workflow or local infrastructure changes, • migration from spreadsheets to a collection management system, • establishing digitization workflows, and data and media publication workflows, • coordination between different collections, • training. 	<p>recommendations for each partner based on information collected through capacity surveys. The path to digital transformation will therefore be different for each institution based on individual capabilities, available resources and what is already in place.</p>
<p>d Coordinate and ensure implementation of the institution's digital transformation plan, and ad hoc CSO requests for technical alignment.³</p>	<p>³ An example of a DiSSCo CSO request that is on the horizon, is to have institutions execute a series of small preliminary 'micro changes' that will enable first connections to DiSSCo operations and services.</p>
<p>e Ensure the institution's digital transformation plan and contacts are updated, and keep the CSO apprised of changes.</p>	
<p>ADVOCACY and ENGAGEMENT</p>	
<p>f Promote a new way of thinking about institutional IT including ensuring understanding of the need and utility of the digital transformation as it pertains to the value added by PIDs, open / extended digital specimen, and FAIR data.</p>	
<p>g Encourage and drive local consumption of DiSSCo services using these increases to inform institutional decisions and strategies pertaining to digitization, and data access and curation.</p>	
<p>h Identify user needs for new DiSSCo functionality or services.</p>	