# Contextualizing the Institutional Repository within Faculty Reseach

DLF Spring Forum April 10, 2006 Austin, Texas

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### Overview of presentation

- Background
  - Definition
  - Peer institutions and institutional repositories
  - Needs assessment rationale
- Methodology
- Key Findings
  - Interviews
  - Focus Groups
- Next Steps

## THE UNIVERSITY SOUTHERN CALIFORNIA. Vol. I. LOS ANGELES, CAL., APRIL, 1881.

#### en for the Times.

"God give us men! A time like this demands Strong minds, great hearts,

Strong minds, great hearts, true faith, and ready hands; Men whom the lust of office does not kill, Men whom the spoils of office cannot

Men who possess opinions and a will, Men who have honor—men who will not lie, Men who can stand before a demaggue And scorn his treacherous flatteries

And scorn his treacherous flatteries without winking. Tall men, sun-browned, who live above the for.

Is public duty and in private thinking. We find the foregoing going th rounds of the press, and one woult think that first-class men were no to be found. Such is not the cass America to-day, contains thou sands of men who possess ever quality described by the poet ruptible, and able as the men of any age or nation.

But why are they not in or public offices and places of trus Some few of them are, but mo are not. The people will not eleptor them as a rule. Party lin are drawn, social lines are marke slandering tongues and pens tu loses and manufacture abau falsehoods, and the masses will a cept a slander from a known sla

tained a spotless character, and

act upon it.

Let an initiate we, in he let a minimum and the confidence of the community—one whose promise to perform any contract is received everywhere with implicit of the community—one whose promise to perform any contract is received everywhere with implicit of the confidence of the confidence

charge and act upon it.

The masses have, in late years
been reaping a fearful retributio
for the manner in which they hav
treated honest men in politic
The most competent and mos
trustworthy, as a rule, have with
drawn from all political contests
and the ery comes up.

"God give us men!
A time like this demands strong mind great hearts, etc."

great hearts, etc."

The poetical prayer, like man of man's prayers, prays for th wrong thing. Pray that the masse will use common sense, and stan by and select the honest, able me who are to be found in every community. God has already mad plenty of the right kind of mer

Let the people do their duty and stand by those who are here among is us, and the public affairs will be

#### Bishop E. O. Have

[C. C. Advocate.]

nead, and she will be sure to hold to well up. And why not? Is she not the predestined capital of the most state? Is she not the Kohinor of the Pacific coast? We are not the Pacific coast? We are the Pacific coast? We are the Pacific coast? We are the predestine of the Pacific coast? We are the predestine of the Pacific coast? We are the predestine of the Pacific Capital Capital

and lilies, and verbenas, and roses, and lilies, and verbenas, and roses, and use to look at or smell. But we have no space to describe it. Exploring the suburbs, we roamed through orange, and lemon, and peach and plum orchards. We include a suburbs, and found out their enemies; and we concluded that this business, as well as any other, actually, requires mind, and perseverance, and seven the suburbs, and the suburbs of th

#### Definition

... a university-based **institutional repository** is a set of **services** that a university offers to the members of its community for the management and dissemination of digital materials created by the institution and its community members. It is most essentially an **organizational commitment** to the stewardship of these digital materials, including long-term preservation where appropriate, as well as organization and access or distribution. <u>Clifford Lynch</u>



#### Institutional Repository Usage

Not being used by faculty

Source: "Papers Wanted." Chronicle of Higher Education 6/25/2004

- As of February 2006
  - 315 institutional repositories in production
  - Containing 850,000 Items
  - Or fewer than 3,000 items/institution

Source: Institution Archives Registry

#### Needs assessment rationale

- Published literature on faculty needs scarce
- Most assessments written post implementation
  - Focus on recruitment & training
  - Best example Foster & Gibbons 2005
- Published requirements often gathered indirectly (faculty Web sites, directories, deconstructing existing systems)
- Published requirements seem based on library needs not faculty needs



- Better understanding of how faculty disseminate research
- Determine faculty receptiveness to IR
- Develop use cases
- Gather high level requirements
- Determine features for first phase

#### Methodology for Needs Assessment

- Literature review
- Faculty office visits/interviews
- Focus groups/small group discussions

#### Office visits/interviews

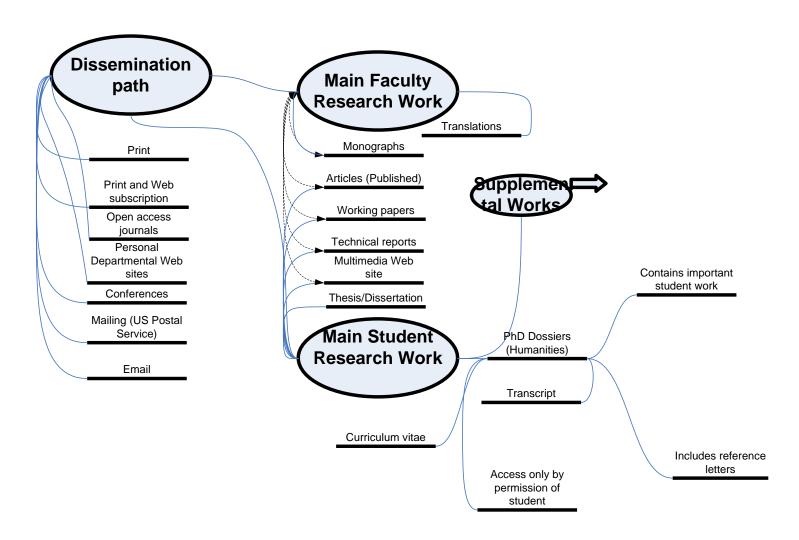
- Identify and contact faculty to schedule meetings
- Interview 10-15 faculty from a variety of disciplines
- 2-3 person interview teams
  - Interview
  - Record
  - Listen/Ask follow-up questions
- Summarize interview incorporating feedback from interviewee
- Summarize all interviews

#### Goal of Questions

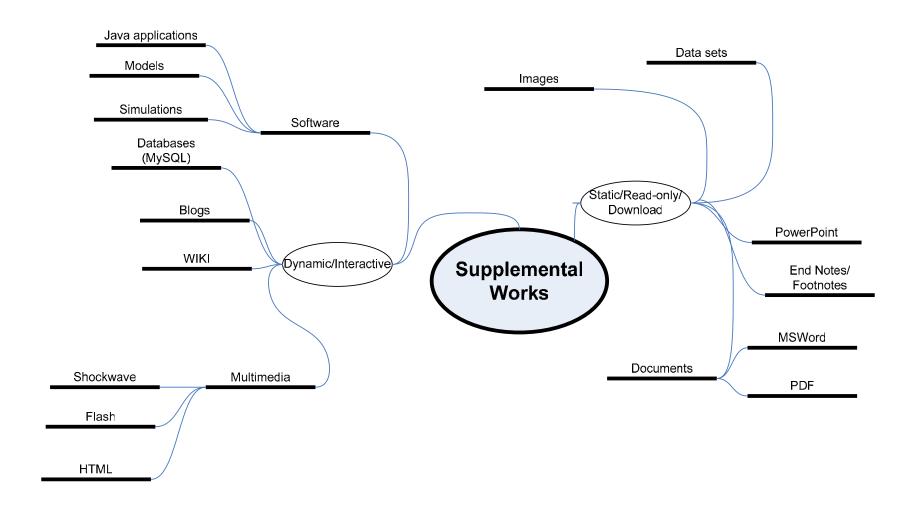
#### **Determine**

- How/where faculty publish
- Importance of PhD student work
- Degree that collaboration needs to be included in software
- Open Access requirements of funding agencies
- Nature/importance of supporting materials

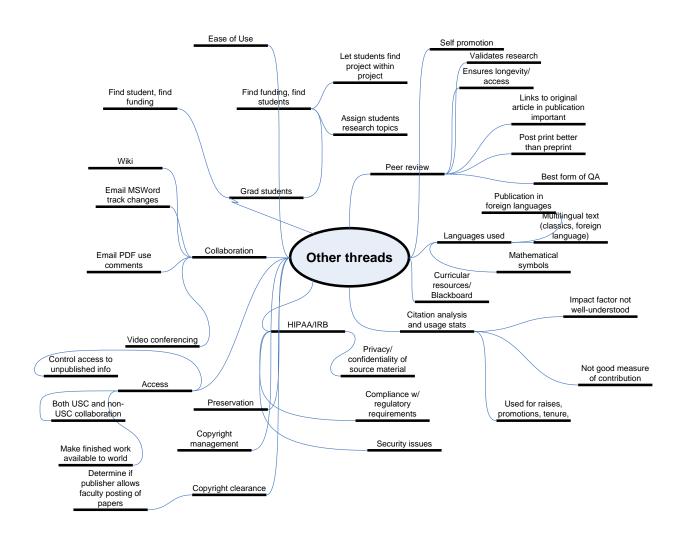
#### Concept Map I



### Concept Map II



#### Concept Map III



#### Faculty info wanted

- Over a dozen places where faculty can submit biographies or their work
- Eight of them on campus
- All entered separately

- Global Directory Service/Campus directory
- Personal Web site
- Departmental Web
- School Web site
- SMARTS/GENIUS
- USC Experts Directory
- Blackboard
- Automated annual review system
- SF424 grants.gov
- NSF
- NIH
- Discipline-based repositories
- ISI Highly Cited Authors
- Who's Who in ...

### Key Findings - Faculty

- Need a compelling reason for IR
- Research and teaching primary focus
  - Not cataloging
  - Not data entry
- Do not write grants to cover labor costs for digitization and data entry

#### Key Findings – Faculty

- Believe publishers responsible for archiving scholarly record
- Peer reviewed article still "gold standard" for most
- Interested in space for
  - Supporting materials
  - PhD student research
- Not as interested in Open Access for their articles

## Major Impediments to Open Access IR

- Primacy of peer-review
- Responsibility for archiving recorded knowledge
- Publisher definitions of original research
- Access needs pre/post publication
- Faculty understanding of copyright
- Human Subjects Research--Privacy and confidentiality
- Supplemental materials

#### Services Suggested by Faculty

- High quality scanning of print only documents
- Digital dossiers for PhD students in Humanities
- Search engine optimization consultation (E-Resources as well as Google Scholar)
- Catalog technical reports/working papers in Homer (and OCLC)
- Copyright check/clearance

### Focus groups

- Goals
  - Prioritize requirements
  - Determine feasibility of related projects
- Methodology
  - Give faculty use cases
  - Ask them to sort "compelling" "ok" "not needed"
  - Discuss how & why they selected what they did

## Sample use case One IR model – Electronic CV

- Harvests metadata from Web of Knowledge
- Faculty member reviews and validates (checklist)
- Creates CV for faculty
  - DOI link
  - OpenURL link for USC
  - Option to upload content
- Sends new citations to faculty
- Sends regular reports to faculty on frequency their items are downloaded.

### Highest priority

- Secure storage
- Persistent URL
- Faculty control access (including editing and deleting)
- Multiple users access private space
- Commitment to preserve and if necessary change file formats

#### Sample Requirements

Supports USC's authentication protocols for single sign-on

For private documents faculty control who has access.

Access of unpublished/ private content can be limited to group or individual.

Faculty control whether document is public or private.

People can have different roles in the system including editor, author, reader, administrator.

Faculty can invite individuals to see their space and documents.

Faculty control access to their content

Individuals can be from USC or other institutions.

External invitees can have the same roles/permissions as internal invitees.

Faculty member can determine what others in group can do with content (add, modify, delete, view, export)

#### Sample Requirements

If adding requires multiple screens, then include information about how many more screens, steps a re needed to complete process, ie route map like those found in shopping cart transactions.

Faculty can skip adding metadata.

Web-base ingest form or one that is platform agnostic and allows user install on PC (as opposed to admin).

Work at any location using any computer available (MAC, PC, Linux).

Uploading files as easy as adding a file using a Webbased mail client

Digital rights on material are verified automatically before content is made available publicly.

Minimal metadata fields for adding metadata. One screen ideal.

Prepopulate metadata for items added based on file names, file content, faculty member info and or collection info.

#### Sample Requirements

For items that have been cited on servers that no longer exist at USC, where possible redirects from the previous URL to a persistent URL.

Provide a mechanism to keep URL/URN/ URIs for documents, datasets, created by faculty member and his research associates constant over time. URL/URN/URI do not change over time

Provide a mechanism to keep outbound links within reseearch documents constant over time even if the URLs change.

Provide a mechanism for securing permission to license and house content if need be to keep it linked to research.

Provide a mechanism to fix outbound links.

Provide a mechanism to find broken outbound links.



- Institution needs to
  - Determine role of library/academic computing in supporting research life cycle
  - Determine which computing activities are supported centrally
  - Determine which are IR functions
  - Position the IR within research life cycle

### Implications for IR

#### Library/academic computing needs to

- Balance permanence/persistince with need to correct information
- Balance faculty need for security, privacy with institutional imperative for access
- Balance rights management/HIPPA/IRB issues with desire for open access

#### Next Steps

- Develop technical requirements from functional requirements
- Implement basic ingest interface
- Develop key policies and procedures
- Identify of early adopters



#### Appendix: Questions

- Tell us about your research.
- How do you disseminate your research findings?
- Follow-up: Do you make pre or post prints available on a departmental or personal Web site or discipline specific site?
- How important are conference proceedings, working papers and/or technical papers in disseminating your research?
- What role do graduate and doctoral students play in the research process? What do you see as your role in disseminating their research?
- Please describe how you work with other authors when you collaborate.
- How do you link your finished research papers to the data sets and other research findings that you use in your research?
- Which funding agencies have you worked with?
- What is the relationship between your research materials and your curricular materials?