

Slide 1

Welcome to the NASIG pre-conference on implementing an institutional repository. What you should gain from this half day is an understanding of the issues and challenges involved in an IR and some idea of how you might tackle the challenges.

I know from the registration that most of you are from academic libraries but there is at least one publisher's rep in the group as well as a representative from NIH. So, I'm honored by your registration and I hope you get what you want and need from this pre-conference.

I'd be interested to know how many of you are from institutions that have already set up an IR? How many of you are actively planning one?

Slide 2 Contact information

This is my contact information which should also be in your handout. I want to encourage you all to feel free to contact me at any time with any questions you have about any aspect of what we're going to cover today or about anything that comes up about IRs once you get back to your institutions.

Slide 3 Overview

This is the general overview for the pre-conference. We'll probably take about five minutes for questions at the end of every session, rather than grouping them all together. We'll take a break about midway but I also want you to feel free to get up, stretch, go to the rest room or get yourselves something to drink at any point. Also, stop me if there's anything you don't understand. Although I've built in time for questions, we can take a little time for clarifying things as we go along. We have a lot to cover and this is timed pretty closely but we can accommodate questions.

Slide 4

So, let's get started.

Slide 5 Rationale and planning

This first session will focus on the rationale for setting up an IR and what you need to consider in your planning. Subsequent sections will focus on providing answers to some of the questions raised.

(continued ...)

Setting up an IR takes a lot of work and brings with it a variety of expenses. Many libraries, academic institutions, governmental agencies, non-profit and for-profit agencies, and other groups around the world have implemented institutional repositories in the past few years. Before undertaking such an effort, it would be good to have a plan.

The UO has had an IR for almost 3 years. We have over 2300 items in it now, and I'll be sharing more details from our experience throughout the course of this pre-conference. We had a plan but most of what we learned we learned as we went along. Hopefully, our experience will save you some time and effort.

These are some of the elements that I recommend that you consider in your planning process:

[first bullet] What's your motivation for doing this? Why?

[2nd bullet] What's your timeline?

[3rd bullet] Who will be involved in the planning and implementation?

4th bullet] Can you afford to do it?

[5th bullet] How will you measure success?

[6th bullet] How flexible is your vision? Will you be willing or able to go with the flow and change as your community suggests new uses for your IR?

Slide 6 **Definition**

My personal definition is fairly broad, although I will be drawing heavily from my personal experience with IRs within an academic (university) setting.

- [1st bullet] For me, in the broadest sense, an IR is a set of digital collections that capture and preserve the intellectual output of some defined community or group of communities
- [2nd bullet] Within a university setting, Clifford Lynch defines an IR as “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.”

If you remove the word “university,” Lynch’s definition of an IR as a set of services for the management and dissemination of digital materials created by an institution and its community members is the one that I think is most accurate.

There are many types of institutions, serving a wide array of communities. IRs need not be just for a university community - IRs can serve a great purpose (**continued...**)

for other types of communities, such as a city or county and serve as a way to collect and make available a wide variety of public information.

- **[3rd bullet]** Public libraries could go a long way to demonstrating their utility to their communities by developing an IR to collect local government publications, web sites, administrative documents, and the creative output of their citizens.

I would add two more aspects to my personal definition

- **[4th bullet]** IRs need not exist just to capture electronic versions of formal publications. I see them as complementary to the traditional publication process, not as a serious competitor
- **[5th bullet]** and they are not just for faculty. I'll get more into that later.

Slide 7 Why do it? Change scholarly communication

One of the main reasons that libraries initially got involved initially in institutional repositories was because they harbored the hope that they would be able to change scholarly communication. I start with this one not because I think it's the most important reason but rather because it is or was once the main motivating factor behind the decision of the University of Oregon (and many academic institutions and consortia around the world) to start an IR.

Slide 8 Scholarly communication crisis

There are a lot of reasons why people – the general public and libraries – have felt that there needed to be a change in scholarly communication models. I won't belabor this point but it needs to be covered since so much attention has been paid to this.

- journal prices rising faster than inflation for the past 35 years.
 - four times faster than inflation in the last 10 years
(continued...)

- libraries dramatically increased expenditures on electronic resources
 - Electronic journals account for the about 92% of this
 - Electronic journals now account for 26% of a library's overall serials expenditures (ARL 2004)
- New pricing models are taking their toll.
 - bundling access to electronic content
 - forcing libraries to maintain print subscriptions in order to subscribe to the electronic
 - temporary embargoes on full-text access to specific issues
- Scholarly output also increasing, both monographs and serials
- Even barring price increases we would be unable to provide access to increasing amount of content. So the end result has been that libraries are able to provide access to an ever smaller percentage of the total scholarly output. We're all familiar with this scenario.

Slide 9 **Scholarly communication crisis : solutions**

Some of the ways that libraries have tried to manage the crisis will be familiar to many if not all of you:

- **[First bullet]** serials cancellations – we've had a number of them and have now acknowledged that the process is continuous and renamed it "*serials review*"
- **[2nd bullet]** we have undertaken ongoing discussions with different faculty groups outlining a variety of scholarly communication issues and challenges.
- **[3rd bullet]** Consortial purchases of electronic resources (Orbis/Cascade Alliance)
- **[4th bullet]** **Broader sharing of collections** UO/OSUO Shared Collections Initiative
- **[5th bullet]** Cataloging of all e-journals and other licensed e-resources done routinely
- **[6th bullet]** Cataloging DOAJ titles
- **[7th bullet]** Brought up SFX August 2003; implementing ERM; looking at Serials Solutions

Slide 10 Change scholarly communication: how?

The newest “solution” to the crisis has been the development of open access IRs.

I already defined an IR (or at least provided one definition)

Open access: allows all members of society to freely access relevant cultural and scientific achievements, in particular by encouraging the free (online) availability of such information

Open access definition taken from the Wikipedia (May 2005) – because like most library users, I start off my information search on the open web

Slide 11 Berlin Declaration

I’m going to be introducing you quickly to many key documents and resources. Time doesn’t permit an in-depth look at any of them but I have tried to list all of the sources in your handouts. An important document on open access that will help orient those of you who may be just starting out is the Berlin Declaration on Open Access. This is a foundational document that is often cited by others.

Slide 12 SPARC

One important player in this area is SPARC. If you want to get involved in starting an IR, you should look at this group's work.

Scholarly Publishing and Academic Resources Coalition (SPARC) begun by Association of Research Libraries (ARL) in 1997 as a “**constructive response to market dysfunctions in the scholarly communication system.**”

Slide 13 Case for IRs

In particular, we found SPARC's Case for Institutional Repositories Position Paper to be **an effective statement** in support of such endeavors,

postulated that “**Institutional repositories can provide an immediate and valuable complement to the existing scholarly publishing model, while stimulating innovation in a new disaggregated publishing structure that will evolve and improve over time.**”

There are two aspects of their definition that I want to emphasize – How IRs complement the existing scholarly publishing model and how they evolve over time.

Slide 14 ACRL

ACRL is also putting a lot of effort into IRs, as seen in this document outlining the principles and strategies for the reform of scholarly communication.

One of the strategies that they identify in this report is the development of institutional repositories

If you plan to get into an IR and accomplish the reform of scholarly communication, you better be in it for the very long haul. I think this will be one by product of IRs – many years hence. And the change to scholarly communication will be, I think, a broadening of what is included in the definition of scholarly communication, rather than a complete change in the models of distribution. But more on that to come.

Slide 15 Increase institutional visibility

Another key reason that institutions have gotten involved in the IR movement or might want to is that they can greatly increase an institution's visibility.

Slide 16 U of T Research Repository

Having well-designed IRs can do a lot to increase a university's profile. When an archive is compliant with open archives standards, the materials in it are widely discoverable and people who find an item are led back into an institutional presence in a very effective way.

Slide 17 Highlight individual achievement

IRs can provide an excellent way to highlight an individual's achievement by providing a space for them to collect any of their output to which they have retained copyright and to also cite other restricted access content.

A couple years ago I attended a SPARC symposium on IRs at which I heard the provost of a major university discuss the IR movement. He identified all of the key players with an animal that represented that group's characteristics. For faculty, he used the peacock. So, highlighting individual achievement can be an important reason for starting an IR on a college or university campus.

Slide 18 Individual achievement: Suzanne Clark

This is an example of a faculty collection we have established at the University of Oregon. Other institutions are doing the same as a means of highlighting the achievements or work of an individual member of an institution.

I use our IR extensively for highlighting my own work. If you want to promote an IR, demonstrate its utility and your own faith in it by using it.

Slide 19 Improve access

A key reason for starting an IR is to improve access to materials

Slide 20 Improve access: Digital [Commons@Carleton](#) College

IRs can increase access to a wide range of materials that might otherwise be hidden or have very limited access. Both the metadata and the content are discoverable and available.

Slide 21 Improve access : Inside Oregon

This is an example of an online newsletter that is now full-text searchable through our IR. In its original version, it is not searchable at that level. Full-text searching capability is one of the services that our IR provides that greatly increases access to the materials in it.

And this service was the main reason this publication decided to archive their publication with us, in addition to posting it on campus web space.

Slide 22 Improve access: Dissociation

This is an example of a journal whose copyright holder gave us permission to digitize it and make it available in our archive. Many IRs are beginning to make this type of content freely available. A few weeks ago I received an email from someone whose partner suffered from a dissociative disorder and thanking me for making this journal freely available so she could get access to information that would help them cope with it.

Slide 23 Improve access: NIH

Another way that an IR can improve access – or contribute to the changing nature of scholarly communication – is to provide a mechanism for members of your faculty or staff to meet requirements of granting agencies.

You can find the NIH data sharing policy on this site and it's in your list of references.

Slide 24 Make connections

As with any kind of digital resource, it is easy to provide access to other web-based resources through an IR. Having connections between the IR and other resources (connections going both ways) is an important way to catch the interest of users who are approaching resources through different avenues and it increases the utility of all the resources.

Slide 25 Make connections: Arts and Letters Colloquium

This collection of student papers in the University of Oregon's IR provides a link (**Arrow**) to a digital collection created from the primary source materials that the students used in their research for this class.

Slide 26 Make connections: CultureWork

One of the things that we do in our IR is to provide links from collection pages to resources on related topics in our online catalog. We construct keyword or subject searches on related topics and then create a hotlink to the online catalog. We already know that our IR is being heavily used, with most users finding us by searching the open web. We are trying to harvest some of the power of the open web and draw people in to other resources that our library has

Slide 27 Make Connections: OAIster

An idea that I first saw on the home page of the University of Minho's IR (Portugal) (**ARROW**) was a link from the archive to OAIster. I'll talk more about this in the section on marketing. But you can make connections to other web-based resources through an IR, whether they are your own or someone else's resources.

Slide 28 Preserve materials

IRs, if properly planned and managed, can provide a means for a community to preserve materials that might otherwise be lost or at-risk.

This aspect is drawing a lot of new users to our IR – and also stretching our vision and resources because they want to use the IR to preserve their legacy to very unique, rich, interactive, multi-media content.

Slide 29 Preserve materials: Renaissance Editions

This is an example of a collection of electronic texts – one that has been given awards and receives heavy use – that previously existed only on an individual’s personal web space. There is now an institutional commitment to preserving this collection of electronic texts.

In the next section I’ll be discussing digital preservation in more depth.

Slide 30 Preserve materials : gov docs

This is an example of a collection of local planning documents that we have begun to harvest from city and county web sites within Oregon. Many of the documents exist only in html in their original and are at risk of being lost or modified without there being any record of their original information. Other IRs around the world are also doing something similar.

Slide 31 Increase collaboration

Although this was not one of our original intentions at UO when we began our IR, we have found that it has greatly increased collaboration between the library and the academic and administrative units on campus and has also led to more cross-disciplinary collaboration on campus.

A direct outgrowth of one of our collections in the IR is an interdisciplinary research forum that is taking place on our campus on May 12 where I'm going to be one of the speakers.

Slide 32 Timeline

Besides thinking about your motivations for starting an IR, spend some time considering your timeline. Your timeline will be affected by a variety of factors.

- Are there any external pressures for setting up an IR? Does your campus administration want this to happen? Have some academic departments asked for it? (**continued ...**)

- When do you want to go public?
- How much time can you devote to the planning process before you make something available?
- Are you in this for the long haul because I can guarantee you that it will take longer to get it rolling than you expect.

Slide 33 Who will be involved: IRG

Who will be involved in the planning and implementation?

At the UO, we began as a task force or library initiative in January 2003.

Within our group we had technical skills, project management skills, legal expertise, connections to the faculty and students we were trying to serve, and organizational/metadata skills. We developed marketing skills over time.

I've provided a link to our group's working web site where you are free to see what we've done and why.

Slide 34 How will you measure success?

Once you've set up a repository, how will you measure your success?

- Will it be based on the number of items you collect?
- How the materials are being used and cited?
- Whether you're able to generate any income or recover any costs from the archive?
- Will you judge its success by the number of groups or individuals whose materials you collect in the archive? (**continued ...**)
- Do you plan to do formal user surveys to determine your success?

These are things to think about as you start planning because, unless your experience is very different from what the vast majority of us have had, it will take some time to get things off the ground and you'll need to evaluate whether your effort is successful.

Slide 35 Success: UO's usage

These use statistics from the University of Oregon's IR indicate that the site has been visited over 4 million times in a twelve month period. We also know from other statistics that the actual files are being opened and viewed between 30 and 40 percent of the time. This is all from the power of the open Web- and we'll get into ways to make this happen when we talk about some of the technical issues in the next segment.

Slide 36 Flexible vision

One of the hardest things about establishing an IR is fixing your vision of what it should be.

- Who are your target groups you want to attract and serve?
- What kinds of materials will you accept in the IR? What kinds of files? Who will determine the criteria? Who – if anyone - will review the submissions?
- Do you expect authors to submit their own work or are you willing to help them in the process? If you help them, how far will you go?
- What additional services will you attach to your IR? Will you put on copyright workshops for your campus or help authors investigate their copyright?

- How do you plan to preserve the files and provide access to them over the long-term?

Are you willing to change your vision as you go along? This would be my single greatest piece of advice: start with a broad mission statement or be willing to adapt your vision as you go along. **Because chances are, your institution's users will see possibilities that you have never seen, as well as obstacles that you would never have dreamed of.**