

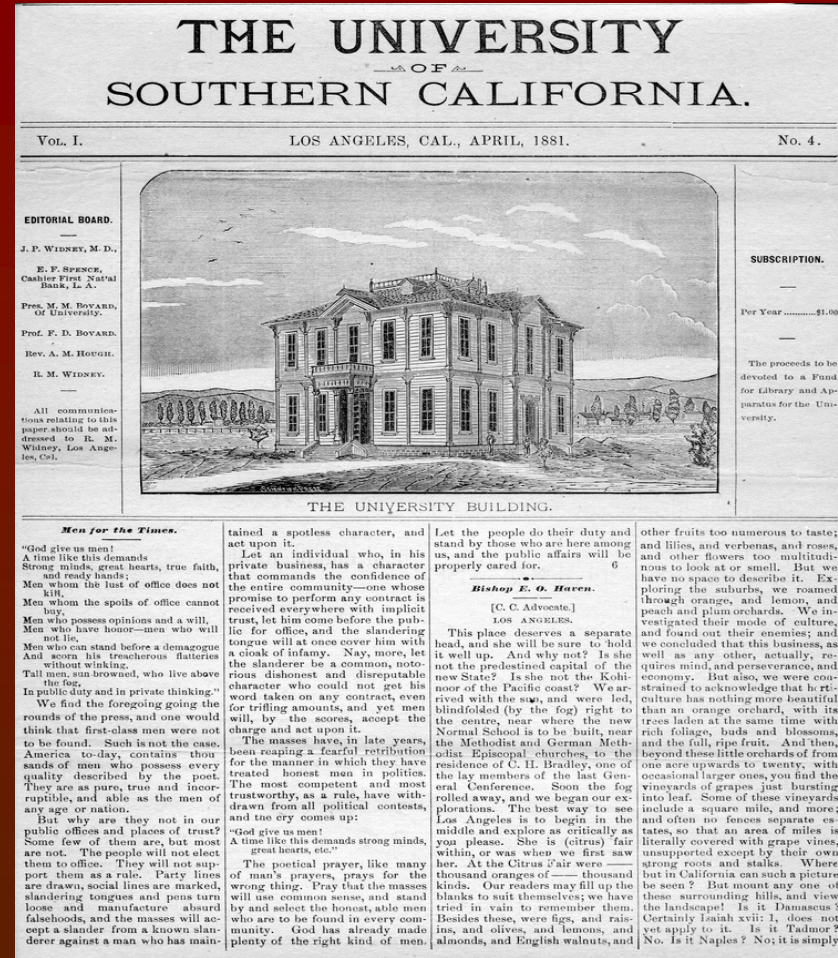
# Contextualizing the Institutional Repository within Faculty Research

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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



# 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. [Clifford Lynch](#)



# 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

# Goals

- 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

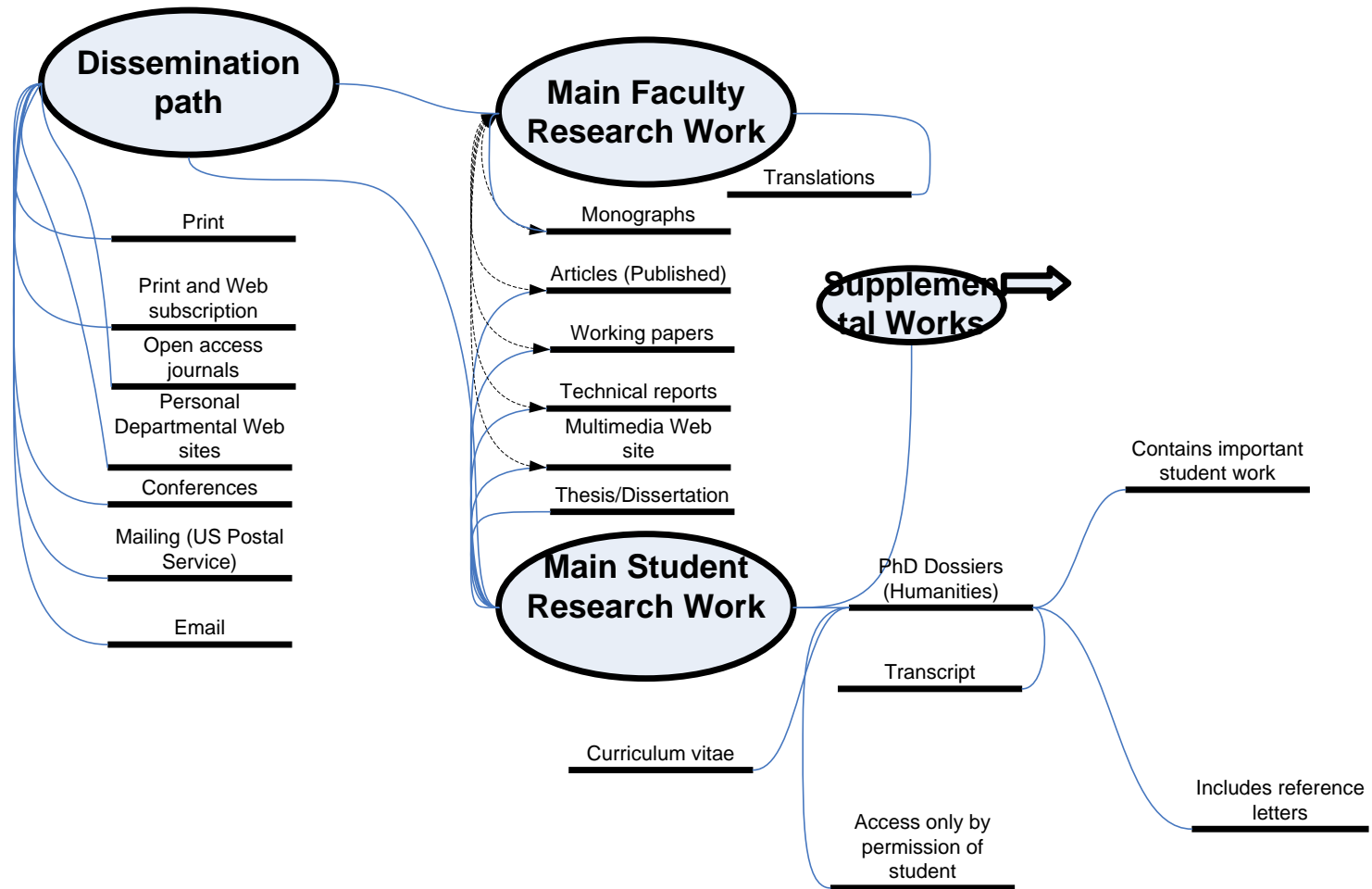


# Goal of Questions

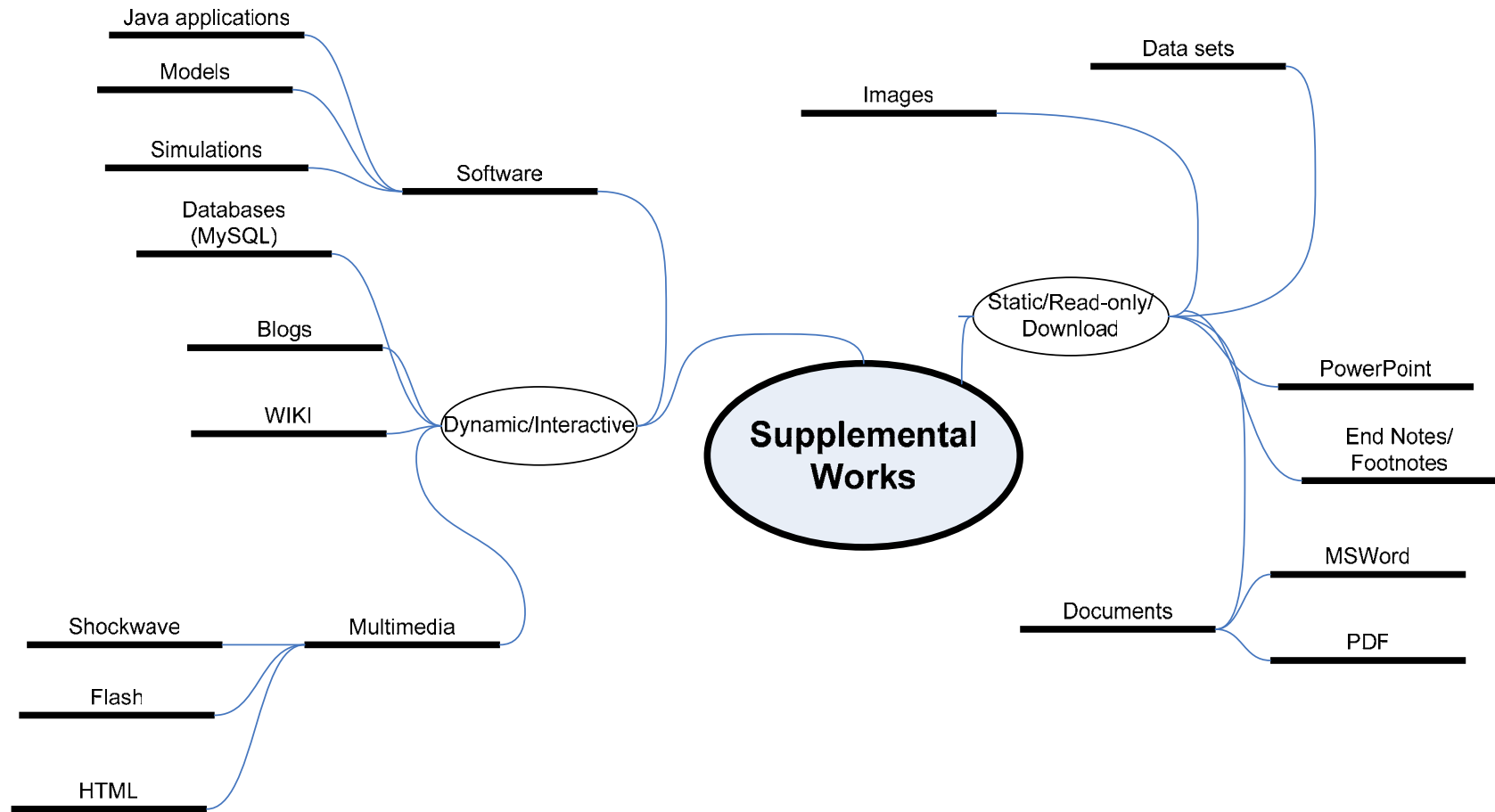
## Determine

- 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

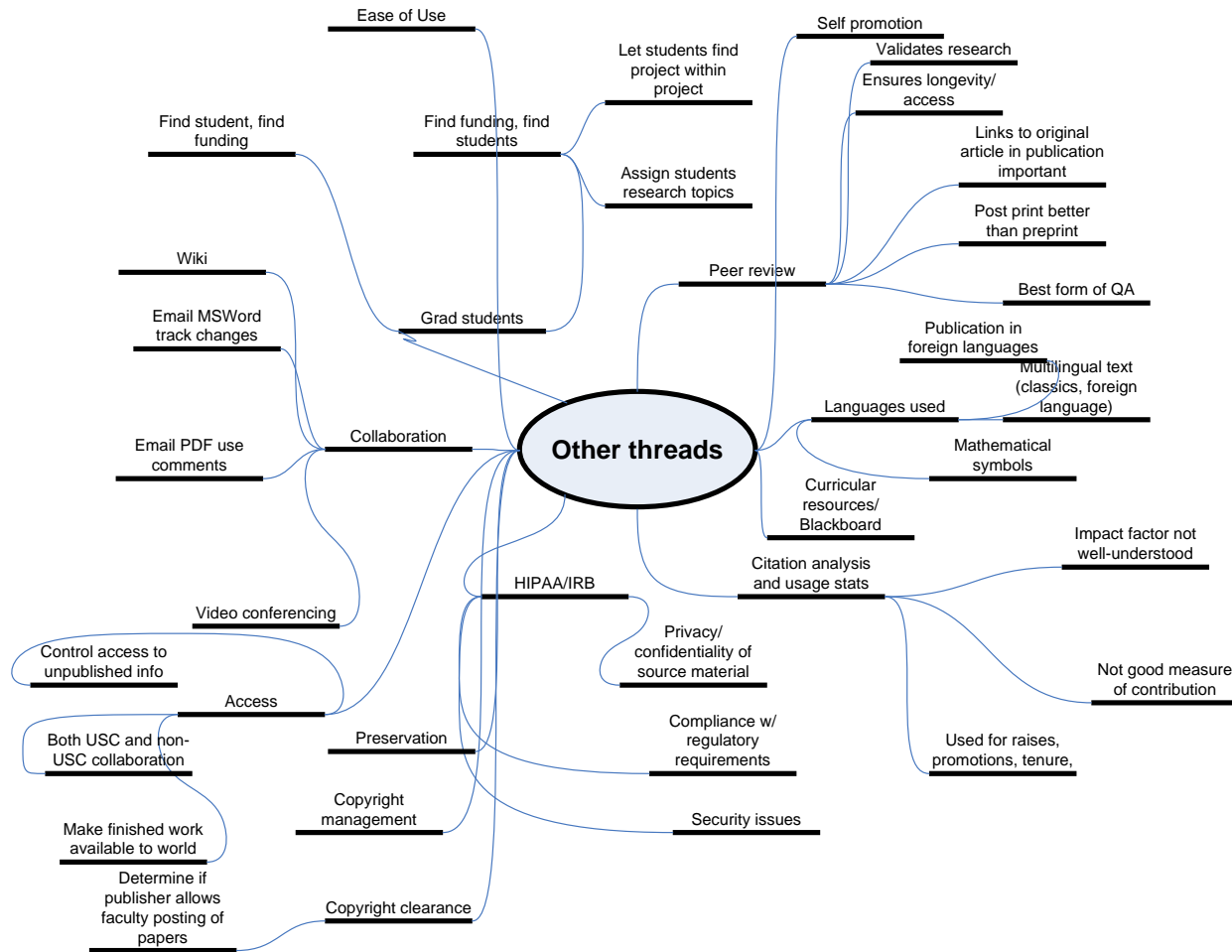
# Concept Map I



# 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

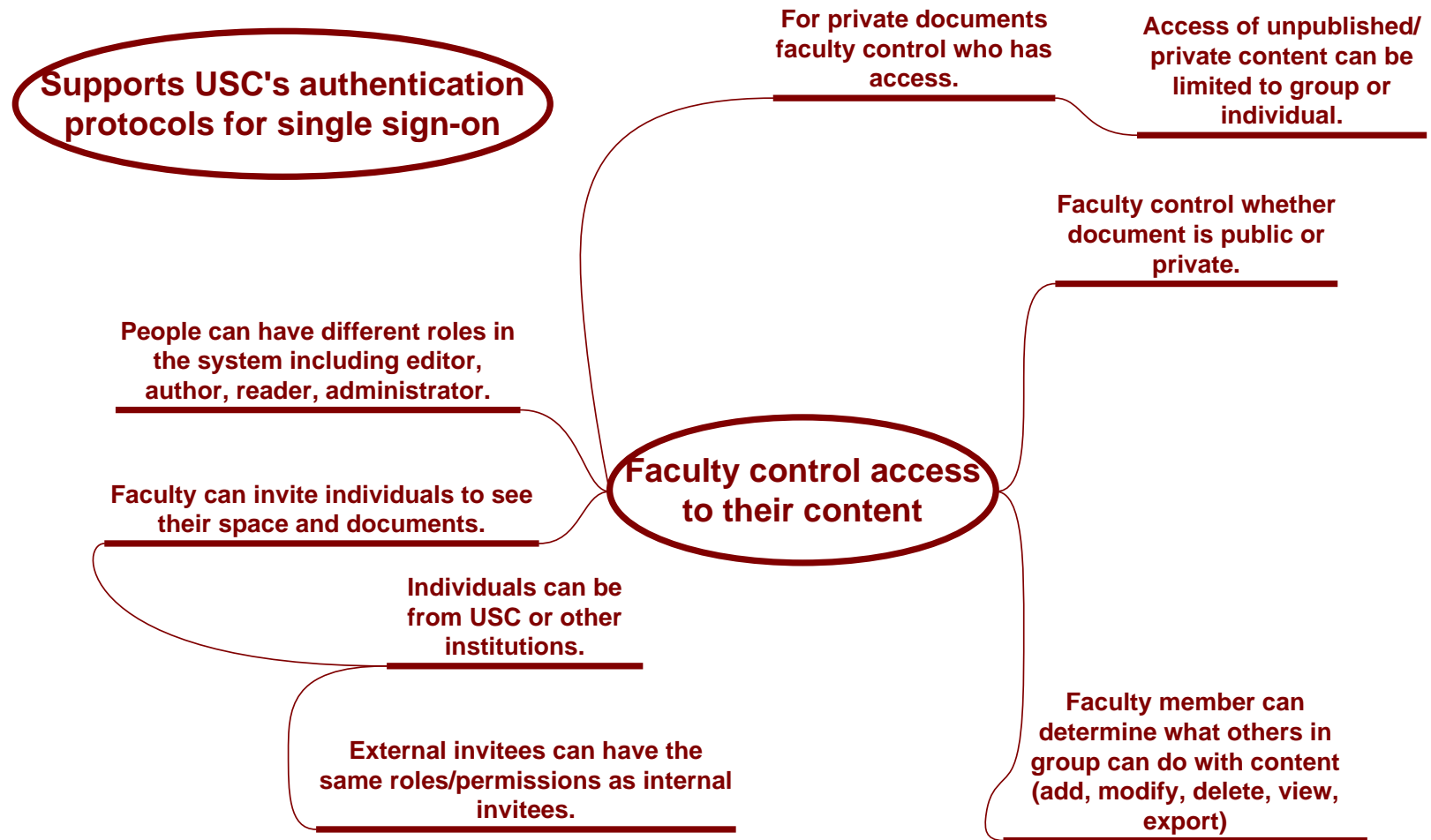
- Harvests metadata from Web of Knowledge
- Faculty member reviews and validates (checklist)
- Creates CV for faculty
  - DOI link
  - OpenURL link for USC
  - Option to upload content
- Sends new citations to faculty
- Sends regular reports to faculty on frequency their items are downloaded.

# Highest priority

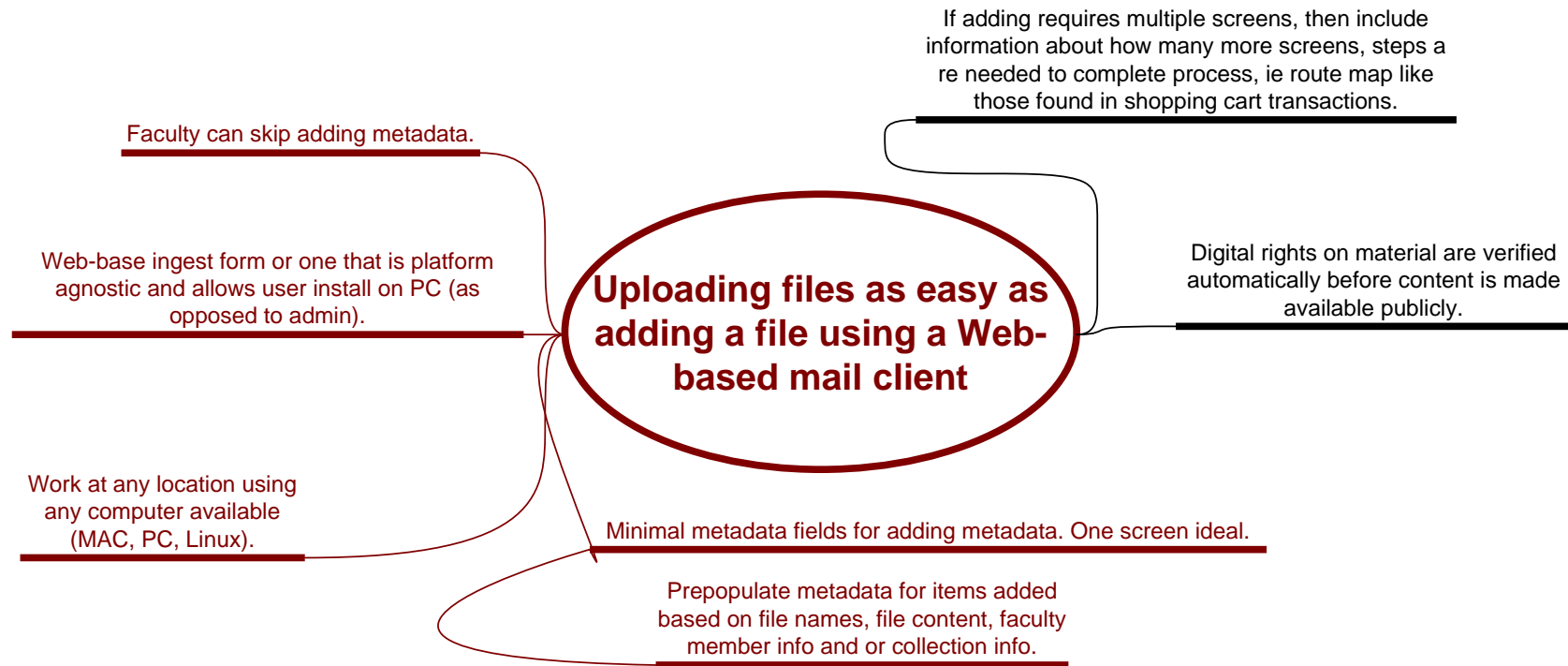
- Secure storage
- Persistent URL
- Faculty control access (including editing and deleting)
- Multiple users access private space
- Commitment to preserve and if necessary change file formats



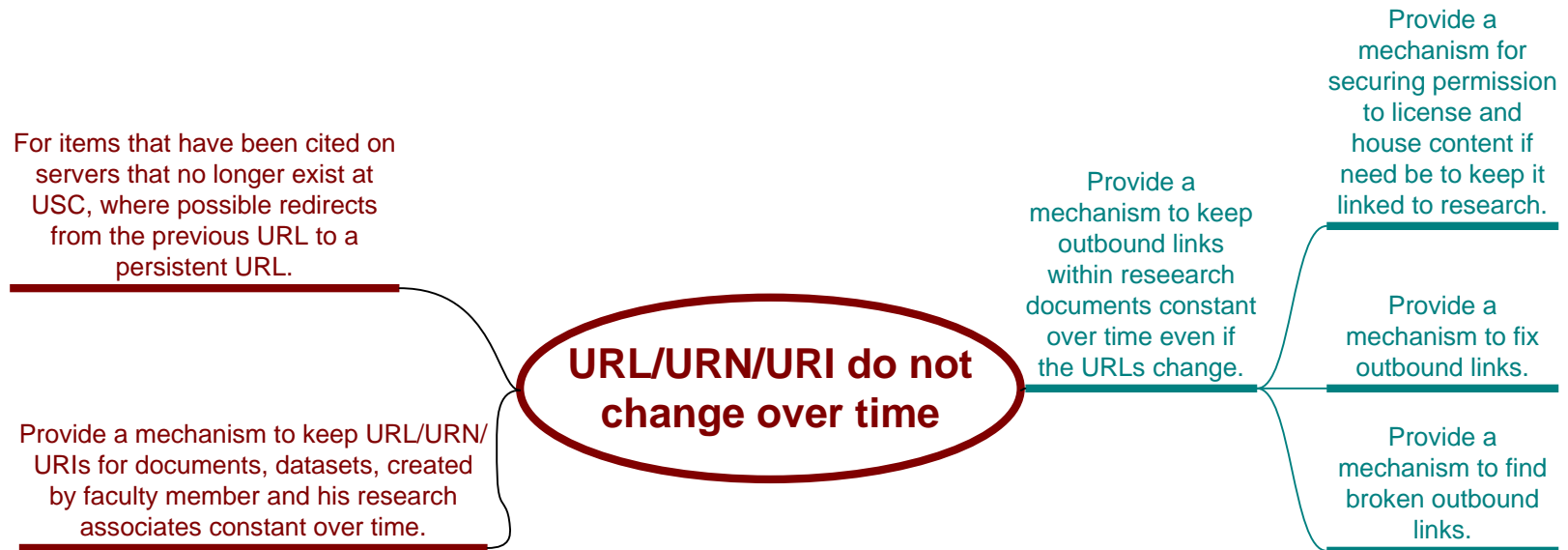
# Sample Requirements



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# Implications for IR

- 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/persistence 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



USC Digital Initiatives



# 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?