

# How to Establish a Successful Institutional Repository in a Small or Medium-sized Academic Institution

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*There is ‘a sleeping beast of demand’  
on the part of small and mid-size  
universities and colleges with respect to  
institutional repositories.*

Census of Institutional Repositories in the United States. MIRACLE  
Project Research Findings by *Karen Markey, Soo Young Rieh, Beth St. Jean,  
Jihyun Kim, and Elizabeth Yakel* (Feb., 2007)



**SOAR** Shocker Open Access Repository



## **Institutional Repositories in Kansas**

# Outlines

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- What is an Institutional repository (IR)?
- What is most important for its success?
- An IR service provider: Library
- IR Constituencies: Students, Faculty & Administration
- The ways to increase IR sustainability in a small or medium-sized university or college



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# What is an IR and what is most important for its Success?

# What is an IR?

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- A library service to the University
- IR is a new service for libraries
- It is unique in many ways:
  - Multi-functional: collect ; publish; store; harvest; redistribute, and preserve
  - Flexible: use cases & goals defined by an institution



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# What is most important for IR success?

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- **Sustainability**
  - Think about an IR as a new service entering “the market” (your organization)
  - Your goal is to continue this service indefinitely; to **transform it to a regular library service** like reference, circulation, or ILL

# Sustainability is a process

(cont.)

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- You start with “just an experiment” (very unstable)
- Pilot (still very unstable)
- Grow to a project or even a program (unstable)
- The number of projects (a bit more stability, but still...)
- Regular service (Finally!! Hope we get there some time)

# Steps toward an IR sustainability

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- The IR is a locally developed database serving your organization needs
- The needs of your organization for an IR are not defined
- This is YOUR responsibility as an IR service developer to learn what role(s) an IR can play in your organization



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# A Library as the IR Service Provider

# What unit does initiate an IR?

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- Than higher in administrative hierarchy an IR's enthusiast is the better service support and perspectives are
- In U.S., an IR is typically a library initiative
- Faculty -- in the Universities with active Open Access movements (Harvard Univ.)
- University President or Provost? Rare.
- State or regional library cooperative – in some states with strong tradition of library cooperation (North Carolina, Ohio)

# If an IR is a Library Initiative

(cont.)

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- An IR may not be a priority for Library Administration: after all the new IR is just one of the projects (may be considered as a local collection; not service)
- For the project success must have: **IR manager or a small team of enthusiasts**
  - to decide on policies
  - to implement a service
  - to be responsible for day-to-day operations

# If an IR is a Library Initiative

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- Typically, Library Administration initiate a new service and form the implementation committee :
  - Platform:
    - Open source? e.g. DSpace
    - Open source hosted? e.g. hosted DSpace
    - Proprietary system, e.g. Digital Commons
    - Consortium? If this is an available option
  - The decision is based on the number of factors:
    - the value of prospective collections
    - The University's interest in and support of an IR
    - Cost of service and source of funding
    - Priority of the IR for the library

# The impact of a service developer:

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- system librarian / web developer— may want to concentrate on the system and its customizations, favors bulk import
- reference librarian may love to do collection development and to promote self-submission
- catalog librarian may love metadata and mediated submission
- archivist may focus on digitization of historical collections



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# What do you need to ensure IR sustainability?

- Collect, provide access to and preserve:  
major intellectual output of your Univ.:
  - The product and showcase of student learning (Theses and Dissertations)
  - The evidence of intellectual capital of University researchers (Faculty research publications; most important: articles)
  - or some other priority content that your organization want to collect and maintain



# What do you need to ensure IR sustainability? (cont.)

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- **Treat your IR as service to Univ. students, faculty and administration**
  - embed an IR into the University's existing administrative tasks
  - initiate, draft, and promote the University policy that defined the IR role and functions
  - if you got lucky to have the approved University policy for an IR, work hard on its implementation into practice



# What can service providers do to increase IR sustainability?

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- The major step is to establish a regular continuing submission of content to an IR
- The 1<sup>st</sup> candidate: ETDs
- The 2<sup>nd</sup> one: metadata of faculty research publications + some full text and links to it
- The 3<sup>rd</sup> one: full text of faculty research articles, conference papers, books, etc.
- The 4<sup>th</sup> one: administrative archives



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# IR Constituencies: Students, Colleges, Depts., Faculty & Administration

“One of the things I’ve always found is that you’ve got to start with the customer experience and work backwards to the technology. You can’t start with the technology and try to figure out where you’re going to try to sell it.” *Steve Jobs*

# 1. Students

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- The ETD Program: service and collection
- GS & Library Administration work on policies, paperwork & workflow
- IR manager works with GS staff on submission, problems, etc.
- **ETD is a valuable program but not large enough to justify the continuing support of on IR**



# 1. Students cont.

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- WSU launched the ETD Program in 2007 currently circa 800 titles (2005- ) – has a registered mandated deposit policy
- GS is the 2<sup>nd</sup> largest community in SOAR: Graduate School [1389]
- GS also published GRASP Conference Proceedings (currently 7 vol., 2005 -- )
- Impact of the program on quality of students' work (assessment factor)

# 1. Students cont.

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- Students may be your best advocates for Open Access on campus
- Start from graduate students
- Invest time to educate students on Open Access (use experience of Open Access Weeks that always include students)
- Involve student organizations on campus
- Think ahead: Graduate students may be future authors and faculty

## 2. Faculty

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- Do faculty want an IR? No. They don't.
  - This is an additional work for them
  - They do not have any incentives
    - IR submissions are not substitute for publications;
    - It does not help them in tenure and promotion
    - IR submissions does not go to their annual reports
    - Faculty have many other alternatives, e.g. academia.edu, subject repositories, their own websites (more attractive to them than an IR)

## 2. Faculty (cont.)

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- But faculty do support IR. Yes, some.
- Typically, for one time projects, not regular submission of their research
  - **Special Projects do not guarantee sustainability of IR**
  - but they are good to grow the repository and to add valuable content (images; videos; digitized collections)

## 2. Faculty (cont.)

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- Before 2011, most faculty articles in SOAR were GRASP proceedings (co-authorship with Graduate Students) or submitted by faculty “early adapters”
- This year, we conducted a pilot project to develop workflow & learn more about problems with the goal to start regular submission of faculty articles to SOAR

## 2. Faculty (cont.)

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- We developed two types of faculty collections:
  - “Selected works” (faculty home page, bio, picture; one level or structured)
  - Departmental collection (dept. home page; one level)
- Flexibility toward full text (so much access as possible; DOI link; link to your library catalog)
- Workflow testing (cover page; copyright investigation, metadata prototypes, file preparation)
- Communication with faculty and publishers
- Documentation (guidelines, procedures, samples, inventories, other data in Excel & FileMakerPro)

## 2. Faculty (cont.)

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- **Selected works (312 titles in 11 collections )**
  - 148 titles (3 authors; College of Engineering)
  - 87 titles (2 authors; College of Health Professions)
  - 77 titles (6 authors; College of Liberal Arts & Sciences)
- **Departmental collections: 557 titles; various dept. (still processing)**
  - bulk import from external databases should be considered

## 2. Faculty (cont.)

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- Next step? A policy for an IR, which is a major step toward its sustainability
- What policy?
  - Traditional mandate: Open Access policy prepared, voted, and accepted by University Faculty Senate and implemented by University administration (**hard sell; long road; unlikely to have in a small or mid-sized university**)

## 2. Faculty (cont.)

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- If an Open Access policy is in question, what to do?
  - Try to get support of Univ. Administration **to mandate the centralized collection of bibliographic information on faculty research**
  - try to get access to this centralized collection of data and enter metadata to the repository
  - add full text or link to a publisher site; provide access to your community by link to your library catalog if the library subscribes this journal

## 3. University Administration

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- Your goal is to embed an IR in the University's processes of learning, teaching, and management
  - Look at the mission of your organization and current planning documents
- Administration is responsible for all aspects of University's operations
  - ... including management of documentation and reports
    - Reports (incl. reports to state and federal authorities)
    - Program reviews
    - Accreditation docs, etc.
- Find the role for an IR in these processes to have
  - Current data and reports easy to obtain
  - Previous data and reports easy to access

# Examples of policies

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- Registered mandates: <http://roarmap.eprints.org/>
- CQ University Australia  
<http://policy.cqu.edu.au/Policy/policy.jsp?policyid=679>
- KU <http://roarmap.eprints.org/202/>
- K-State (thesis mandate) <http://roarmap.eprints.org/181/>
- WSU (thesis mandate) <http://roarmap.eprints.org/183/>
- Lirias <http://roarmap.eprints.org/508/> -- institutional policy on Open Access; over 1/4 mln titles; I did not find full text in this repository: <https://lirias.kuleuven.be/>

# To conclude:

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- While developing an IR service try to:
  - Find the right focus: **what your institution interested the most;**  
grow other services next to it
  - Continue testing different approaches; some may work while others not much



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# Thank you! Any questions?

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**Citation:** Matveyeva, Susan J. “How to Establish a Successful Institutional Repository in a Small or Medium-sized Academic Institution.” KLA-CULS 2011 Fall Conference, October 20 - 21, 2011, Manhattan, Kansas.