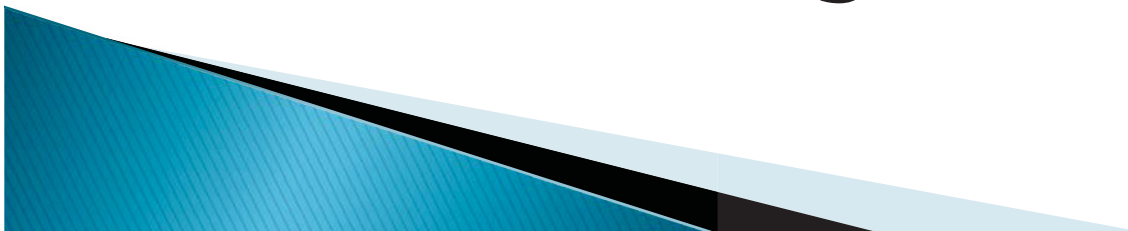# An Evolving Partnership: Managing the Digital Output of Academic Faculty
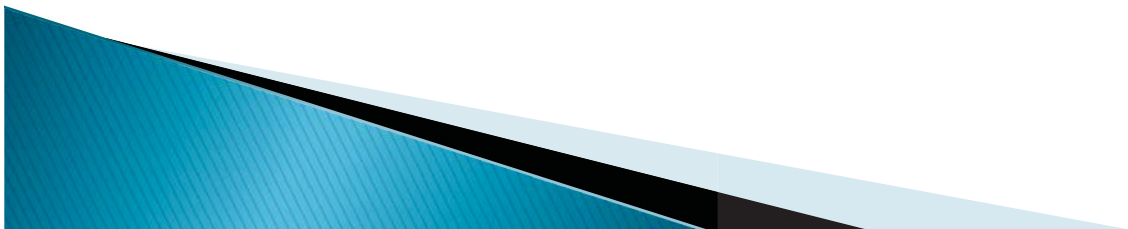# And Other Academic Records

- Philip Bantin
- Feb. 17, 2012

# Why is the situation evolving?

- Academic Librarians are becoming more actively involved in the collection and management of faculty papers and of unpublished records in general

# What has Changed?

- How?

- Institutional Repositories

# What is an Institutional Repository?

- Clifford Lynch: "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."

# Institutional Repositories

- Growth and Content

- Patterns of Development

# McDowell Survey, 2005-2007 Growth

- The mean growth for U.S. repositories over a twelve-month period, generally from November 2005 to November 2006, was an increase of 1,100 items.
- The median annual increase was 366 items, or 1 new submission a day
- Growth has been slow

# ARL – 2006 Survey Growth

- The difficulties faced by institutions when recruiting content for their IRs is clearly borne-out by respondents.
- Only one implementer found recruitment "very easy" and only seven "somewhat easy."
- Fourteen (40%) found it "somewhat difficult," and eight (23%) "very difficult;" five (14%) were neutral.
- In other words, nearly two-thirds of implementers rated recruiting content as difficult

# Institutional Repostorities
# Slow Growth - Why?

- Main Target Initially:

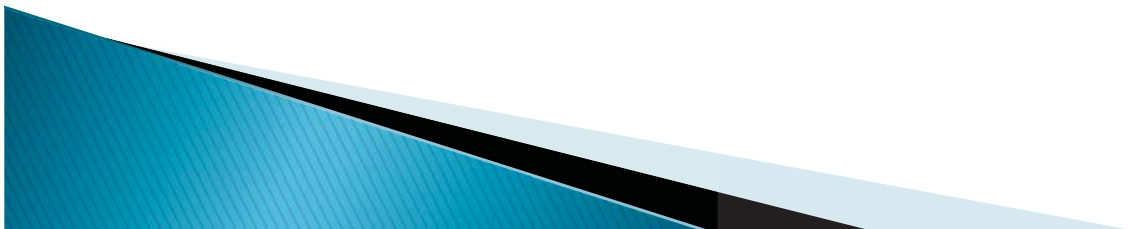- Faculty peer-reviewed works: pre- and post-prints, e-journal articles, and e-books
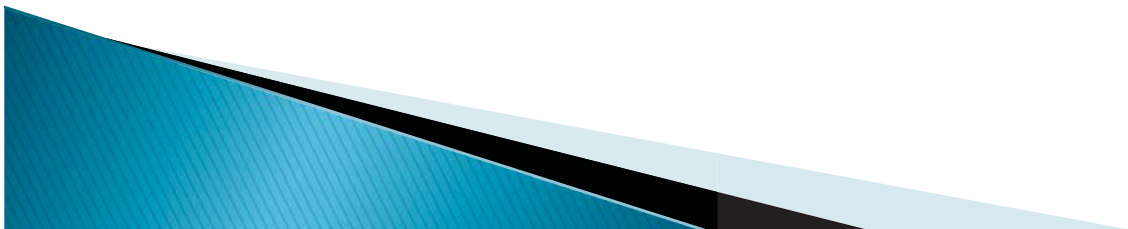
# 2007 Study of Cornell's IR Slow Growth – Why?

- Faculty who were interviewed didn't perceive any added value in the Institutional Repository in the area of retrieval or access to research that might be useful for their own research.
- Likewise, in the area of dissemination of their own work, i.e. using the repository to disseminate their own work, the interviewees were convinced that researchers in their field already had adequate access to their work.
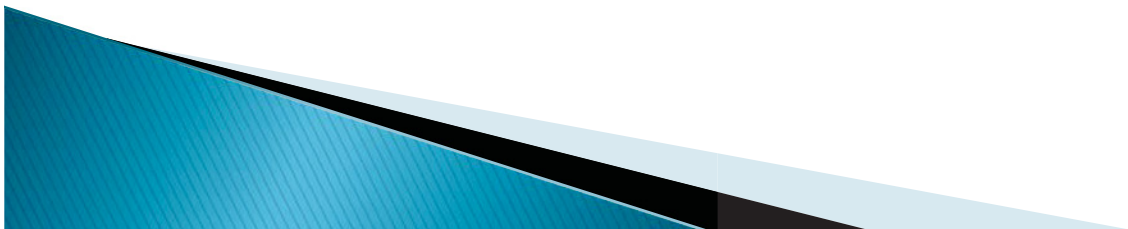
# Slow Growth of IRs

- Related factors in the slow growth of faculty publications in the IR are **Copyright** restrictions

# McDowell Survey
# Content – Student Output

- Student work accounts for the largest percentage of items in IRs.
- Approximately 41.5% of all items in American academic IRs were student-produced, including over 93,000 Theses and Dissertations.
- Another 11,000 items, or 4.5% of repository contents, were other student-created works, primarily senior honors theses.
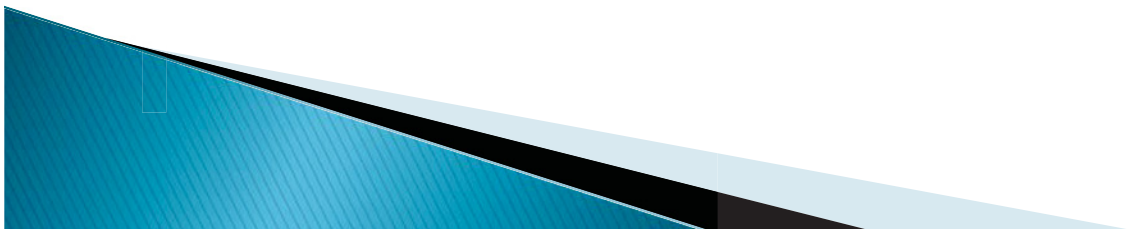
# McDowell Survey
# Content – Faculty Output

- About **37%** of items in IRs are faculty scholarly output
- However, the percentage of peer-reviewed works – pre- and post-prints, e-journal articles, and e-books – is considerably smaller, around **13%**

# McDowell Survey
# Content – Faculty Output

- **23%** of faculty works in IRs are gray literature, items that have not been subjected to peer review but are scholarly in nature. Working papers and technical reports make up the highest percentage of gray literature
- The remaining **1%** comes from other non-published and non-peer reviewed materials related to faculty scholarship, including conference presentations, learning objects, podcasts and other multimedia, and datasets.

# McDowell Survey
# Content – Photo Images

- IRs in the U.S. contained over 33,000 digital pictures in the fall of 2006, representing approximately 13% of all items in repositories.
- A little over 1/3 of those pictures are archival in nature, scanned historic images from Special Collections and/or Archives departments.

# McDowell Survey
# Content – Institutional Records

- Non-scholarly publications represent an estimated 4.5% of all items in IRs.

- For the purposes of this study, this category included both institutional promotional materials such as newsletters, brochures, and guides, and primarily record-keeping works such as agendas, meeting minutes, accreditation documentation, and annual reports.

# McDowell Survey
# Content – Institutional Records

- A remaining 3% of items in IRs fell into the category of historic textual documents

- These, too, were usually created by archival departments, and tended to include items like commencement speeches, old course catalogs, and newspaper clippings.

# McDowell Survey
# Content – Conclusion

- "The prevalence of peer-reviewed work – estimated here at only 13% nationwide – and the well-documented difficulty of recruiting works of any type is not currently facilitating significant inroads in the open access movement.

- It is doubtful that IRs will prove to alleviate the crisis in scholarly communication, at least the way we initially expected, any time soon."

# University of Michigan, School of Information 2006 Survey Trend

- Since IR developers have had difficulties recruiting faculty publications, they have sought out other types of content.
- This has led them to **archives** in search of potential content for the IR.

# University of Michigan Survey, 2006 Survey – Content

‣ **Faculty Unpublished Research**
‣ Written papers or transcripts of conference presentations
‣ Audio, video, images and software presentations
‣ Working papers and technical reports
‣ Grant funded project files and reports
‣ Raw data files
‣ **Faculty Teaching Materials**
‣ Course syllabi, class notes, handouts, PowerPoint slides, etc.
‣ **Student Publications and Papers**
‣ Dissertations, Theses
‣ Undergraduates' class notes, outlines, assignments papers, and projects

# University of Michigan Survey, 2006 Survey – Content

- **Interviews of Faculty and Alumni**
- Sound recordings and transcripts of interviews
- **Institutional Records**
- Institution's newspapers
- Course Catalogs
- Faculty Council minutes
- Board of Trustees minutes
- Interim and final reports to funders
- Committee meeting agendas and documents
- College, departmental, and school alumni publications
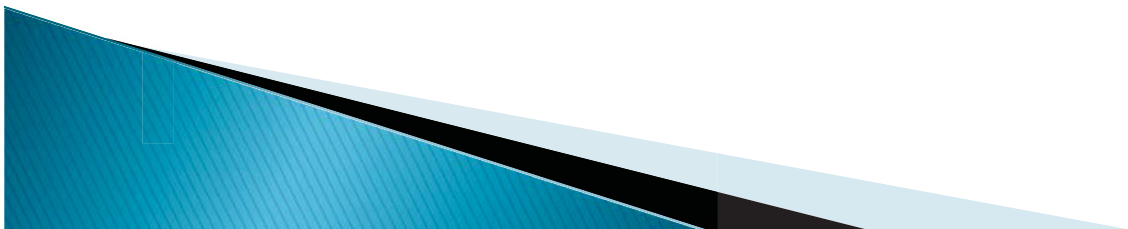
# University of Michigan Survey, 2006 Survey - Content

- The total number of digital documents in implementing institutions is 76,477, of which 53,780, or 70.3%, could be considered archival.

- "These manuscripts in paper form traditionally were collected by university archives are now being targeted by IR staff with or without the cooperation/consent of the university archives and special collections."

# University of Michigan Survey, 2006 Survey – Content

- Even without the inclusion of theses and dissertations, 15 IRs still contain between 90% and 100% archival content.
- Out of 66 operational IRs, 26 have over 50% archival content.
- "Apparently, Institutional Repositories (IRs) are becoming an extension of the institutional repository (archives)."

# IR Content – Trend

- In other words, Institutional Repositories are evolving:
- From sites that emphasized getting published material into open access environments
- To repositories with an emphasis on making available unpublished records
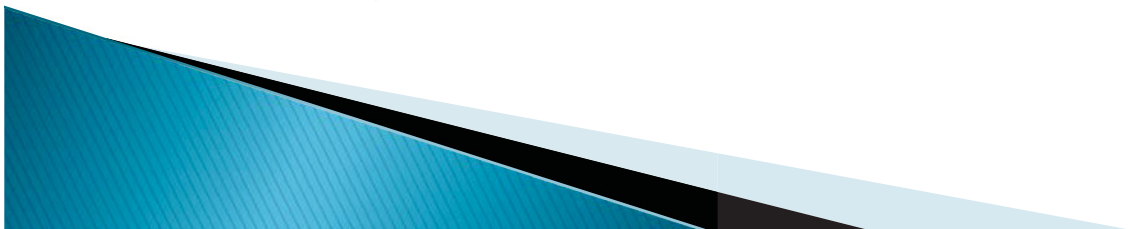
# Responses by Archivists

- 1) We need to find ways to become actively involved in the management of IRs – We cannot ignore them; we must help shape them

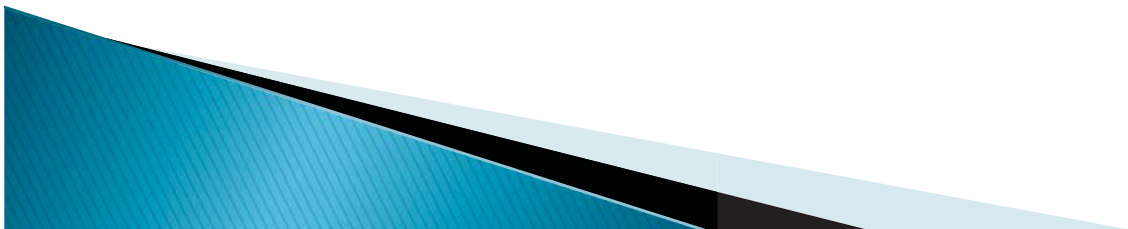- 2) We need to play to our strengths as archivists and in areas where other such expertise is lacking

# Active Involvement by Archivists in IRs

- Archival Strengths and Areas where IR teams seem to lack sufficient expertise:

- Appraisal
- Archival Description Methodology and Identifying Certain Types of Metadata
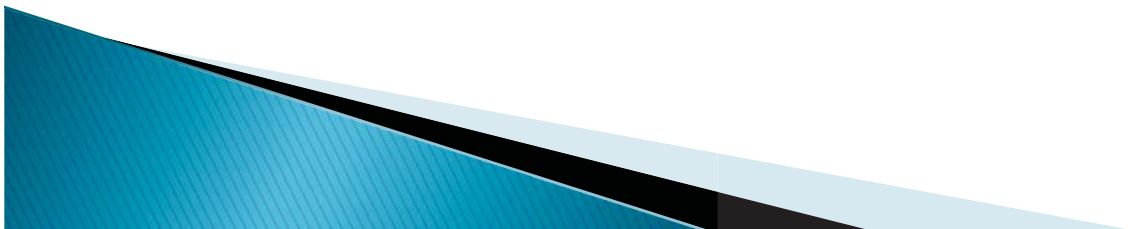- Long Term Preservation

# Appraisal
## Subject Specialists and Unpublished Records

- 2006 Survey by University of Michigan, School of Information on Institutional Repositories
- "Interviewees described repeatedly how they use existing liaisons and subject bibliographers to meet with professors to solicit content."

# Appraisal
# Subject Specialists and Unpublished Records

- Within IU's Institutional Repository team, I have also experienced a growing dependence on librarian subject specialists to solicit content
- And I have also witnessed a more general trend in which library subject specialists are becoming more active in soliciting and collecting unpublished papers, both electronic and paper

# Subject Specialists and Unpublished Records

- Issues
- Subject Specialists do not always have the expertise to appraise these records
- They do not have trained staff to arrange and describe them
- They do not have proper facilities to make them accessible
- Need for archivist to partner with these librarians

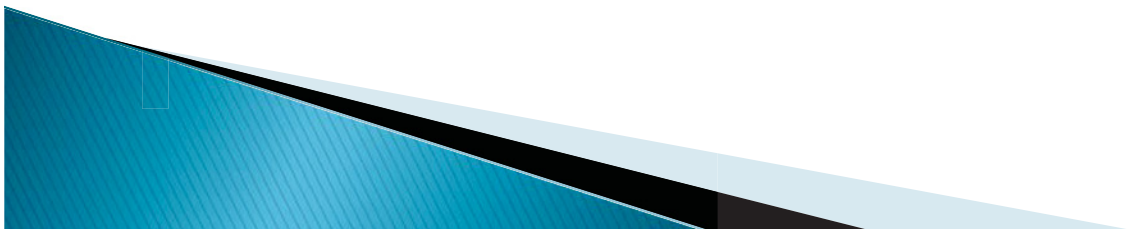# Added Value: Description

▸ Adding Additional Metadata:

▸ 1) Adding more Contextual Metadata
▸ 2) Adding more Relationship Metadata
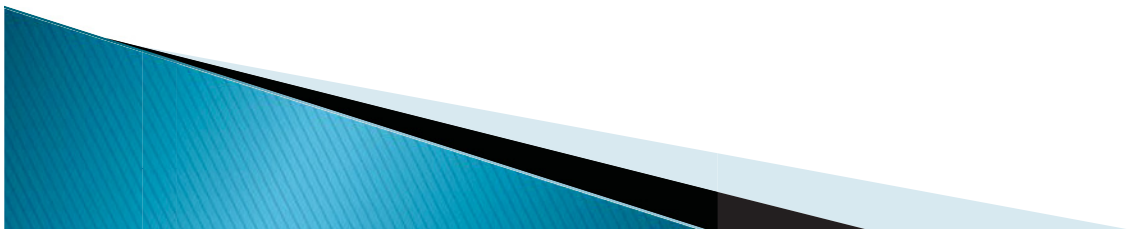▸ 3) Adding more Administrative or Management Metadata and Audit Trails

# Added Value – Description

- Application of Archival Descriptive Methodologies
- IRs tend to publish digital images and files decontextualized from the rest of the collection and often at the item level
- Archivists must help IR team to adopt when appropriate more aggregate levels of description that document contextual relationships
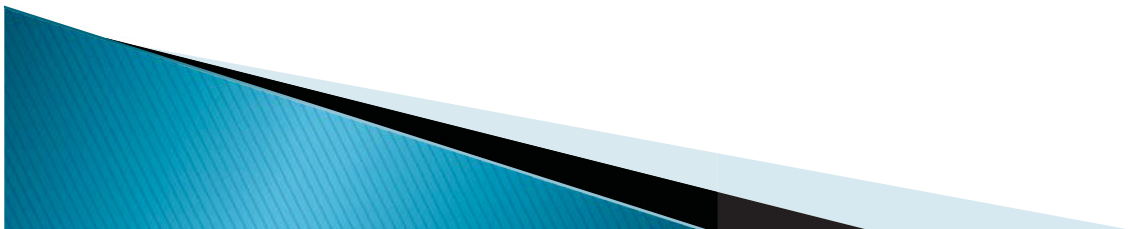
# Added Value – Preservation As an IR Priority

- 2006 Survey by Univ. of Michigan School of Information
- Preservation viewed as a High Priority Benefit of IR
- Ranked 4$^{th}$ or 5$^{th}$ out of 16 Benefits for Implementers of IR

# Added Value – Preservation as an IR Priority

▸ However, survey found that preservation systems and policies lag behind perceived importance of preservation

▸ Less than 30% rated their IR as "very adequate" in the area of digital preservation, and 40% did not answer the question related to preservation
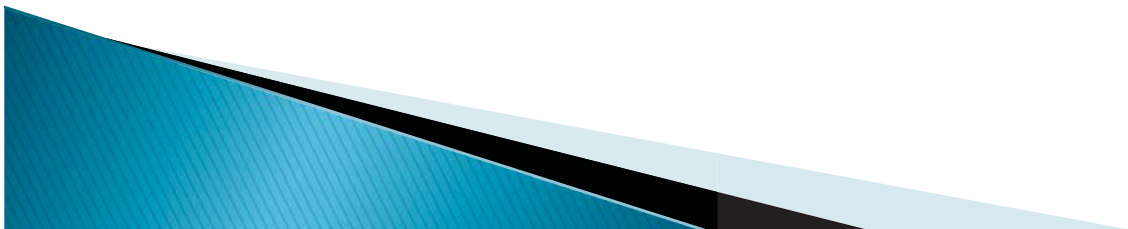
# Added Value – Preservation Role of Archivist

- 2006 Survey by Univ. of Michigan School of Information
- "In most IRs, archivists do not act as nor are they recognized as the digital preservation experts…The presence of archivists in IR planning does not appear to have any impact on the treatment or perceived importance of preservation issues."

# Added Value – Preservation Role of Archivist

▸ Long Term preservation should be one of our strengths and presently it appears to be in need a champion on IR teams

▸ Archivists need to promote and advise on long-term preservation issues like monitoring the authenticity of objects, creating preservation management metadata, monitoring technological obsolescence, and migrating the objects over time
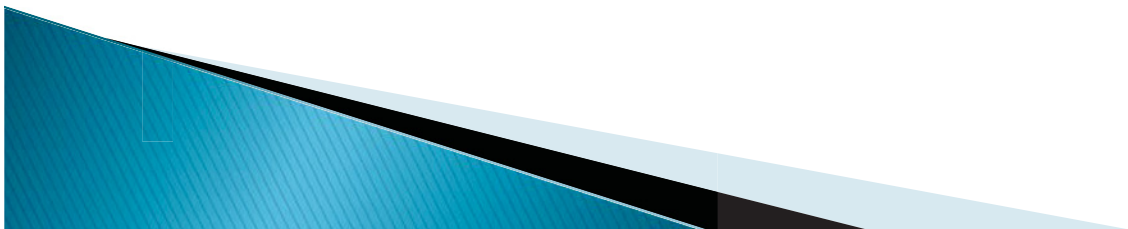
# Sell IR as a Trusted Repository

▸ Emphasize the conceptual idea from Lynch's definition of IRs as "an organizational commitment to the stewardship of these digital materials, including long-term preservation where appropriate"

▸ Promote the IR as a repository designed "to provide reliable, long-term access to managed digital resources to its designated community, now and into the future."

# Sell IR as a Trusted Repository

▸ Creating a Trustworthy Repository for long term preservation and access is a complex and expensive undertaking

▸ Creators and users must be made to understand that this is a primary and important contribution and one that most information systems cannot promise to fulfill

# Sell IR as a Trusted Repository

▸ Librarians will continue to emphasize access, and will focus on building easier to use interfaces and better searching tools, and develop strategies for addressing copyright issues

▸ Librarians also seem extremely focused on the tasks of publishing open access digital journals in the IR

▸ Archivists need to be a primary voice promoting the value of managing and keeping this material alive for the long term