

Institutional Repositories, Tout de Suite

Charles W. Bailey, Jr.

Digital Scholarship

www.digital-scholarship.org/

Copyright 2008 © Charles W. Bailey, Jr.

This work is licensed under the Creative Commons Attribution-Noncommercial 3.0 United States License. To view a copy of this license, visit <http://creativecommons.org/licenses/by-nc/3.0/us/> or send a letter to Creative Commons, 171 Second Street, Suite 300, San Francisco, California, 94105, USA.

Introduction

Institutional Repositories, Tout de Suite is designed to give the reader a very quick introduction to key aspects of institutional repositories and to foster further exploration of this topic through liberal use of relevant references to online documents and links to pertinent websites.

What Is an Institutional Repository?

There are a number of definitions for "institutional repository" (IR). Here are a few key ones:

Clifford Lynch, "Institutional Repositories: Essential Infrastructure for Scholarship in the Digital Age"

In my view, 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.¹

Mark Ware, *Pathfinder Research on Web-based Repositories*

An institutional repository (IR) is defined to be a web-based database (repository) of scholarly material which is institutionally defined (as opposed to a subject-based repository); cumulative and perpetual (a collection of record); open and interoperable (e.g. using OAI-compliant software); and thus collects, stores and disseminates (is part of the process of scholarly communication). In addition, most would include long-term preservation of digital materials as a key function of IRs.²

Raym Crow, The Case for Institutional Repositories: A SPARC Position Paper

Institutional repositories— . . . digital collections capturing and preserving the intellectual output of a single or multi-university community—provide a compelling response to two strategic issues facing academic institutions. Such repositories:

- Provide a critical component in reforming the system of scholarly communication—a component that expands access to research, reasserts control over scholarship by the academy, increases competition and reduces the monopoly power of journals, and brings economic relief and heightened relevance to the institutions and libraries that support them; and
- Have the potential to serve as tangible indicators of a university's quality and to demonstrate the scientific, societal, and economic relevance of its research activities, thus increasing the institution's visibility, status, and public value.³

The quoted documents (see "Notes" section) are a good place to start in your investigation of IRs. You may also find the below document to be helpful:

Barton, Mary R. *Creating an Institutional Repository: LEADIRS Workbook*. Cambridge, MA: MIT, 2004. <http://dspace.org/implement/leadirs.pdf>

Why Should My Institution Have an IR?

There are many reasons to implement an IR. Here are some common ones:

- To increase the visibility and citation impact of your institution's scholarship (see the "Effect of Open Access and Downloads ('Hits') on Citation Impact: A Bibliography of Studies," <http://opcit.eprints.org/oacitation-biblio.html>, for more information).
- To provide unified access to your institution's scholarship.

- To provide open access to your institution's scholarship (see "Open Access Overview: Focusing on Open Access to Peer-Reviewed Research Articles and Their Preprints," <http://www.earlham.edu/~peters/fos/overview.htm>, for a discussion of open access).
- To preserve your institution's scholarship.

What Is Self-Archiving?

Here is a brief description of self-archiving from the "Self-Archiving FAQ":

To [self-archive](#) is to deposit a digital document in a [publicly accessible website](#), preferably an [OAI-compliant Eprint Archive](#). Depositing involves a simple web interface where the depositor copy/pastes in the "metadata" (date, author-name, title, journal-name, etc.) and then attaches the full-text document. Self-archiving takes [only about 10 minutes](#) for the first paper and [even less time for all subsequent papers](#). Some institutions even offer a [proxy self-archiving service](#), to do the keystrokes on behalf of their researchers. Software is also being developed to allow documents to be self-archived [in bulk](#), rather than just one by one.⁴

Aside from article preprints (i.e., the unedited, non-peer-reviewed versions of articles) and postprints (final versions of the article created by the publisher or author), authors may also self-archive a wide variety of other types of digital scholarly works, such as books, presentations, teaching materials, technical reports, and theses and dissertations.

Can Authors Legally Deposit Scholarly Articles in IRs?

If scholars retain the copyright to their articles, they can deposit any version of them wherever they wish. However, most scholars transfer their article rights to a journal publisher as part of the publication process and, consequently, it is the publisher's policies that govern deposit. For example, a publisher may permit use of a preprint, but not the published article file. Copyright and publisher policies need to be considered for self-archiving other types of published scholarly works as well.

You can find out more about this complex topic using the resources below:

Authors and Their Rights,

<http://www.arl.org/sc/copyright/author-rights-resources.shtml>

Publisher Copyright Policies & Self-Archiving,

<http://www.sherpa.ac.uk/romeo.php>

Resources for Authors, <http://www.arl.org/sparc/author/index.html>

Are IRs Widely Used?

Institutional repositories are used worldwide. Below are several key surveys and research studies about IR use.

Bailey, Charles W., Jr., Karen Coombs, Jill Emery, Anne Mitchell, Chris Morris, Spencer Simons, and Robert Wright. *Institutional Repositories*. SPEC Kit 292. Washington, DC: Association of Research Libraries, 2006.

<http://www.arl.org/bm~doc/spec292web.pdf>

Lynch, Clifford A., and Joan K. Lippincott. "Institutional Repository Deployment in the United States as of Early 2005." *D-Lib Magazine* 11, no. 9 (2005). <http://www.dlib.org/dlib/september05/lynch/09lynch.html>

Markey, Karen, Soo Young Rieh, Beth St. Jean, Jihyun Kim, and Elizabeth Yakel. *Census of Institutional Repositories in the United States: MIRACLE Project Research Findings*. Washington, DC: Council on Library and Information Resources, 2007.

<http://www.clir.org/pubs/abstract/pub140abst.html>

McDowell, Cat S. "Evaluating Institutional Repository Deployment in American Academe Since Early 2005: Repositories by the Numbers, Part 2." *D-Lib Magazine* 13, no. 9/10 (2007).

<http://www.dlib.org/dlib/september07/mcdowell/09mcdowell.html>

Rieh, Soo Young, Karen Markey, Beth St. Jean, Elizabeth Yakel, and Jihyun Kim. "Census of Institutional Repositories in the U.S.: A Comparison Across Institutions at Different Stages of IR Development." *D-Lib Magazine* 13, no. 11/12 (2007).

<http://www.dlib.org/dlib/november07/rieh/11rieh.html>

van Westrienen, Gerard, and Clifford A. Lynch. "Academic Institutional Repositories: Deployment Status in 13 Nations as of Mid 2005." *D-Lib Magazine* 11, no. 9 (2005).

<http://www.dlib.org/dlib/september05/westrienen/09westrienen.html>

How Can I Find Out What Institutional Repositories Exist?

You can use the below directories to find institutional repositories:

OpenDOAR: Directory of Open Access Repositories,

<http://www.opendoar.org/>

Registry of Open Access Repositories (ROAR), <http://archives.eprints.org/>

What Software Is Used for Institutional Repositories?

A variety of systems are in use. IR software may be supported in various ways (e.g., locally supported, centrally supported by a consortium of institutions, or supported for a fee by a vendor). Four commonly used systems are:

Digital Commons, commercial software, <http://www.bepress.com/ir/>

- FAQ, <http://www.bepress.com/ir/faq.html>

DSpace, free open source software, <http://www.dspace.org/>

- FAQ, <http://wiki.dspace.org/index.php/EndUserFaq>
- Fee-based support options, http://www.dspace.org/index.php?option=com_content&task=blogcategory&id=50&Itemid=152

- Mailing lists, http://www.dspace.org/index.php?option=com_content&task=blogcategory&id=48&Itemid=118
- Wiki, http://wiki.dspace.org/index.php/Main_Page

EPrints, free open source software, <http://www.eprints.org/>

- Blog, <http://www.eprints.org/community/blog/>
- FAQ, http://wiki.eprints.org/w/Frequently_Asked_Questions
- Fee-based support options, <http://www.eprints.org/services/sales/>
- Mailing lists, <http://www.eprints.org/software/>
- Wiki, http://wiki.eprints.org/w/Main_Page

Fedora, free open source software, <http://www.fedora-commons.org/>

- FAQ, <http://fedora.info/wiki/index.php/FAQ>
- Fee-based support options, <http://www.vtls.com/Products/vital.shtml>
- Mailing lists, <http://www.fedora-commons.org/developers/>
- Wiki, http://fedora.info/wiki/index.php/Main_Page

Is It Difficult to Get Authors to Deposit Articles in IRs?

Without a requirement to do so (a "mandate") at the departmental, college/school, or institutional level, most institutions have found that it is challenging to get authors to deposit articles and other works in IRs. There can be meaningful disciplinary differences in self-archiving rates.

Here are some articles and a thesis on this critical topic:

Allen, James. "Interdisciplinary Differences in Attitudes towards Deposit in Institutional Repositories." Manchester Metropolitan University, 2005.
<http://eprints.rclis.org/archive/00005180/>

Carr, Leslie, and Tim Brody. "Size Isn't Everything: Sustainable Repositories as Evidenced by Sustainable Deposit Profiles." *D-Lib Magazine* 13, no. 7/8 (2007).
<http://www.dlib.org/dlib/july07/carr/07carr.html>

Davis, Philip M., and Matthew J. L. Connolly. "Institutional Repositories: Evaluating the Reasons for Non-Use of Cornell University's Installation of DSpace." *D-Lib Magazine* 13, no. 3/4 (2007).
<http://www.dlib.org/dlib/march07/davis/03davis.html>

Foster, Nancy Fried, and Susan Gibbons. "Understanding Faculty to Improve Content Recruitment for Institutional Repositories." *D-Lib Magazine* 11, no. 1 (2005).
<http://www.dlib.org/dlib/january05/foster/01foster.html>

Mackie, Morag. "Filling Institutional Repositories: Practical Strategies from the DAEDALUS Project." *Ariadne*, no. 39 (2004).
<http://www.ariadne.ac.uk/issue39/mackie/>

Sale, Arthur. "The Acquisition of Open Access Research Articles." *First Monday* 11, no. 10 (2006).
http://www.firstmonday.org/issues/issue11_10/sale/index.html

Swan, Alma, and Sheridan Brown. *Open Access Self-Archiving: An Author Study*. Truro, UK: Key Perspectives Limited, 2005.
<http://cogprints.org/4385/01/jisc2.pdf>

Thomas, Chuck, and Robert H. McDonald. "Measuring and Comparing Participation Patterns in Digital Repositories: Repositories by the Numbers, Part 1." *D-Lib Magazine* 13, no. 9/10 (2007).
<http://www.dlib.org/dlib/september07/mcdonald/09mcdonald.html>

Are There Mailing Lists About IRs?

There are a number of mailing lists that deal with particular IR systems. See the Website for the system in question for more details. Mailing lists that deal with general IR topics are listed below.

JISC-REPOSITORIES,

<http://www.jiscmail.ac.uk/cgi-bin/webadmin?A0=jisc-repositories>

SPARC-IR, <https://mx2.arl.org/Lists/SPARC-IR/>

Are There Books About IRs?

Here are two books that deal exclusively with IRs.

Jones, Catherine. *Institutional Repositories: Content and Culture in an Open Access Environment*. Oxford: Chandos Publishing, 2007.

Jones, Richard, Theo Andrew, and John MacColl. *The Institutional Repository*. Oxford: Chandos Publishing, 2006.

Where Can I Find Out More about IRs?

Here are two bibliography sections that deal with IRs. The second one is updated quarterly.

Open Access Bibliography: Liberating Scholarly Literature with E-Prints and Open Access Journals, 7 Institutional Archives and Repositories, <http://www.digital-scholarship.org/oab/7ir.htm>

Scholarly Electronic Publishing Bibliography, 9 Repositories, E-Prints, and OAI, <http://www.digital-scholarship.org/sepb/techrep.htm>

The below Weblogs cover new IR articles as part of their more general coverage of open access and scholarly publishing topics.

Open Access News, <http://www.earlham.edu/~peters/fos/fosblog.html>

Scholarly Electronic Publishing Weblog,
<http://www.digital-scholarship.org/sep/sepw/sepw.htm>

Notes

1. Clifford A. Lynch, "Institutional Repositories: Essential Infrastructure for Scholarship in the Digital Age," *ARL: A Bimonthly Report on Research Library Issues and Actions from ARL, CNI, and SPARC*, no. 226 (2003), <http://www.arl.org/resources/pubs/br/br226/br226ir.shtml>.
2. Mark Ware, *Pathfinder Research on Web-based Repositories* (London: Publisher and Library/Learning Solutions, 2004), 3, [http://www.palsgroup.org/palsweb/palsweb.nsf/79b0d164e01a6cb880256ae0004a0e34/8c43ce800a9c67cd80256e370051e88a/\\$FILE/PALS%20report%20on%20Institutional%20Repositories.pdf](http://www.palsgroup.org/palsweb/palsweb.nsf/79b0d164e01a6cb880256ae0004a0e34/8c43ce800a9c67cd80256e370051e88a/$FILE/PALS%20report%20on%20Institutional%20Repositories.pdf).
3. Raym Crow, *The Case for Institutional Repositories: A SPARC Position Paper* (Washington, DC: The Scholarly Publishing and Academic Resources Coalition, 2002), 4, http://www.arl.org/sparc/bm~doc/ir_final_release_102.pdf.
4. EPrints.org, "Self-Archiving FAQ," <http://www.eprints.org/openaccess/self-faq/>.