

CAVAL Reference Interest Group Forum
Friday May 22, 2009
La Trobe University, City Campus

Prepared and presented by: Neil Hinsch

Engaging the academic community in the use of digital repositories

Thank you Ladies & Gentlemen. My paper explores the University of New South Wales Library's approaches to encouraging the academic community's use of its open access digital repository called UNSWorks.

The open access digital repository UNSWorks was a University Library initiative supported by the University and funded by DEST. It arose out of the ARROW Digital Repositories Project, which was a joint effort of Monash University (lead institution), National Library of Australia, the University of New South Wales, Swinburne University of Technology and University of Southern Queensland.

The benefits of depositing in an open access digital repository have been supported by research studies such as Chawki Hajjem (et al.) "Ten year cross disciplinary comparison of the growth of open access & how it increases research citation impact" ¹ and clearly articulated in the Library's promotional campaigns to the academy with such benefits statements as: "UNSWorks aims to increase the exposure of UNSW research by making it available globally, free of charge. Visibility of research outputs enhances "impact", increases citation counts & contributes to the requirements of ERA. By opening their content to service providers such as Google Scholar and OCLC repositories Web users can search every item they hold. It also assists the academy with managing their research outputs by providing a stable & durable home for their research material".

"Statistics are provided on downloading add additional support with applications for grants and promotions. For disciplines other than the physical sciences that do not have a good mechanism for creating and tracking "impact" a digital repository is a way of remedying the deficiency".

Weaknesses around handling research outputs by the academy are addressed by highlighting that a digital repository brings together university research, which presently is scattered over a variety of sites, not to mention the research outputs that are hidden, into one visible space and by indexing the content using a controlled vocabulary makes it metasearchable on the world-wide web.

How has the UNSW Library proceeded with promoting the repository's features and benefits to the academy? Andrew Wells, University Librarian and Lyn Bosanquet, Director Information Services Department promote UNSWorks at a high level via Academic Board, Faculty Board, etc. However its systematic promotion has largely resided with the Outreach Librarians' Team. The Outreach Librarians' Service was instated as a new service in the newly restructured Library at the commencement of 2007. The Library implemented a radical new model that is changing the way in which information services are planned, delivered and measured. Critical to this end

¹ Chawki Hajjem (et al.) "Ten-year cross-disciplinary comparison of the growth of open access & how it increases research citation" IEEE Data Engineering Bulletin 24(4) 39-47; 2005

it redefined its primary role, core business and perceived relationships with the UNSW community. It is a structure through which the Library delivers services in both the physical and online environments in a flexible and proactive manner, so that at any time if strategic university priorities change, it can pivot, reposition and respond.

The primary role of the Outreach Librarian is that of "relationship manager" in that they are responsible for building ongoing relationships with the academic and research community, including the Higher Degree Research students. How is this done? On a daily basis members of the Outreach team arrange for individual consultations (outreach calls) with academics; they give group presentations relating to new content, and attend School and/or special faculty meetings. There is an individual performance target of 12 Calls per week and all visits and conversations are documented in a template Call Report within 72 hours after the visit. These reports are read and discussed by the team with their managers and used as a basis for strategy making. Ongoing two way communication is at the heart of the relationship between the Librarians and the academy. On calls, at School meetings, at cross-faculty meetings like the Learning & Teaching Fellows the outreach service promotes the features and benefits of the UNSWorks service. Promotion of the repository really commenced in late 2007 and more systematically in 2008.

What are the responses of the academy to the repository to date?

- UNSWorks only accepts postprints i.e. the final version of an academic article or other publication, as accepted for publication, incorporating revisions made as a result of the peer review process. Unfortunately, many researchers have either destroyed or lost their postprints. Moreover frequently researchers have supplied publishers' copies & not the postprints themselves since they fail to understand the difference. Some researchers are also reluctant to upload a postprint if there are significant discrepancies between it and the inpress version.
- The academic is time poor and often resents the time involved in individually uploading a work.
- There is a low level awareness amongst the academy of issues around publishing; for instance many publishers either prevent the deposit of postprints into digital repositories or place strict timeframe embargoes around the upload of works into repositories or only permit an abstract with a link to the published version.
- Copyright surrounding the deposit of a single book chapter from an anthology can be problematic. Research outputs, particularly creative works, may contain material such as images sourced from other authorities without copyright approval. Some disciplines like Law critique the Copyright Agreement and also highlight that there are a number of creative commons licences. Some researchers are uncertain about the "enforceability" of the Creative Commons licence and have a misguided notion that if the work is only available in print then it will somehow be more "protected" from copyright infringements than an electronic counterpart.
- Numerous research outputs in the physical and life sciences have multiple authors and consent must be obtained from all co-authors before uploading takes place. Obtaining consent of other authors by the UNSW author is time-consuming since researchers frequently move between institutions and contact is lost.
- The internal uploading process into UNSWorks was time consuming for the academic with eight clicks required to answer a variety of questions per single upload.
- Since academics frequently deposit in other digital repositories such as the Social Sciences and Research Network (SSRN), ArXiv, PubMed, Astrophysics Data System and AustLii the common perception is that depositing in UNSWorks creates an unnecessary duplication of work.
- Researchers report their research works annually to the DEST (HERDC) publications database and resent another reporting mechanism.

- Academics use their own websites to host their publications, frequently in violation of copyright, since the individual's site often hosts the published version. Hence they see no need to duplicate the process by depositing in UNSWorks
- Some researchers want to support "struggling" journals in smaller disciplines like Fine Arts and resist depositing postprints in UNSWorks fearing it will further diminish an already small circulation, and are satisfied with an abstract and link to the published version.
- Some artists maintain that digital repositories take spectators away from galleries where their works are exhibited and prefer links to gallery sites instead.
- Some HDRs object to the requirement to deposit their Master's thesis into a repository upon completion and urge a delay in upload since they need time to write a journal article or conference paper based on the thesis and postulate that if they deposit too early then other researchers may use the thesis as a basis for their own research outcomes.
- A number of researchers are interested in where datasets are stored. Datasets are frequently seen to be just as important as published works and should accompany the latter.
- On the positive outcomes side many researchers and Research Centres have been keen to upload their outputs into UNSWorks and to raise their research visibility and impact. Many Centres have unpublished works like working papers, research reports and industry or government-commissioned reports that require visibility. Smaller disciplines like the Korean Australasian Research Centre are aware that their research is not being cited nor is it indexed in citation databases. Small discipline-based journals such as the College of Fine Arts publication called Artwrite now deposit issues into UNSWorks to increase their impact.
- Some Research Centres like the National Drug & Alcohol Research Centre are trying to get researchers to experiment with digital repositories by depositing publications and then tracking citation counts over time to ascertain if the count increases.

The Library has addressed a number of concerns expressed by the academy around open access depositing.

- To remedy the laborious process of uploading individual publications one-by-one the Library devised procedures for bulk uploads of researchers' outputs. The Outreach Librarian now downloads their DEST publications from the Research Master database into an excel spreadsheet and forwards them on to the academic either in person or by email; whereby the patron checks the citations, adds additional citations to the spreadsheet and returns it to the outreach librarian together with the pdfs. The spreadsheet and pdfs are then escalated to the UNSWorks Review staff for deposit. Once checked and verified for any copyright infringements, including permission of the copyright owner the UNSWorks Review staff send an electronic UNSWorks licence to the author or copyright holder giving UNSWorks a licence to reproduce and publish electronically the work. Where the author or creator is the copyright owner of a work, copyright is retained by the author or creator after it is deposited in UNSWorks. Where the publishing agreement assigns copyright to the publisher, permission from the copyright owner (i.e. the publisher) is required before material can be made accessible on UNSWorks. Most academic journals now routinely allow authors to self-archive a copy of the manuscript version of their papers. Policies of specific publishers are available at <<http://www.sherpa.ac.uk/romeo.php>>. UNSWorks staff will check that the publisher allows author self-archiving before uploading deposited material to the web. Where an embargo period is imposed by copyright owners, authors and creators can still deposit their research material, which will automatically be made visible and accessible on the

repository at the end of the embargo period. In cases where the publisher does not permit self-archiving, depositors will be required to gain permission to deposit their material in UNSWorks. If this permission is not provided a full copy of the research material will not be accepted into UNSWorks, but a record of the publication metadata, including bibliographic information may be submitted. Where possible, UNSWorks will provide a URL link from the metadata to the publisher's site where the work can be viewed.

- Since many researchers in the Australian School of Business use SSRN to deposit their postprints the outreach librarian has commenced downloading postprints from SSRN and forwarding them on to the UNSWorks Review staff after obtaining a signed licence agreement from the academic.
- The Library has simplified self-uploading procedures from 8 clicks to one click.
- Later in the year it is envisaged that when the 2009 research outputs are required for submission to the DEST (HERDC) Research Master Database there will be one-deposit screen that will simultaneously populate both Research Master and UNSWorks.
- A trial has commenced with the School of Mechanical Engineering to embed their researchers' publications held in UNSWorks into their School website
- Outreach librarians have gained greater knowledge of acceptable publication formats and promotional clarity around selling the service.
- The library has held Publishing for Impact sessions for Research Centres and early career researchers and marketing presentations at School Meetings that promote the benefits of open access repositories as part of a publishing process that enhances citation impact.
- Further enhancements to repository functionality are planned including the use of a unique Author ID which is available in SSRN and Scopus.
- The library is considering asking members of the academy when they are submitting their lists of publications to its Research Impact Measurement Service for bibliometric analysis to agree to allowing the library automatic upload into UNSWorks
- Outreach is targeting esoteric works too, such as architects', artists' and designers' creative outputs.
- The HDR students are also targeted by outreach to obtain their research outputs.
- Opportunities have been seen by outreach librarians when working with the academy for improved uptake of UNSWorks via faculty information initiatives such as Medicine's establishment of a public health portal for health workers in the Asia/Pacific region which draws on their publications in UNSWorks.
- Outreach librarians have recognised the necessity to work closely with faculty administrators who coordinate the administrative aspects of their faculty's research works to gain better uptake of UNSWorks.
- Even with a systematic and ongoing engagement with the academy by the outreach service the uptake of the repository can be slow and intermittent. For example, to date seven out of ten Schools in Science have been contacted eliciting bulk uploads of their works, but only 5% have positively responded to date with content, but a higher per centage have responded with citations and links to their publishers' sites. Less than 10% of staff in Engineering's Schools of Mining and Computing has deposited content to date, but Surveying and Spatial has responded strongly with the majority depositing content.

However, the Science and Engineering outreach librarians are now afforded the opportunity to make further individual calls with their respective academics to elicit feedback on their lists of citations and to ascertain the availability of postprints.

Overall short of the ideal solution which is to make deposit of research works in institutional repositories mandatory, as in the case with the universities of Macquarie,

Charles Sturt and Queensland, then other academic libraries might find it difficult to gain uptake of their institutional repositories unless they have strongly established selling and relationship-building teams such as an outreach librarian service.