the Library
Te Pātaka Kōrero

Case Study:
ResearchArchive@Victoria

Institution: Victoria University of Wellington (New Zealand)
Repository Name: ResearchArchive@Victoria
Repository URL: http://researcharchive.vuw.ac.nz/
Contact: Emma Shepheard-Walwyn (emma.shepheard-walwyn@vuw.ac.nz)

1 Institutional Overview

Victoria University College was founded to celebrate the Diamond Jubilee of Queen Victoria in 1897, and became Victoria University of Wellington (VUW) in 1962. In 2005 the Wellington College of Education was disestablished and incorporated into the University. The University has continued to expand, and in 2006 the New Zealand School of Music was established as a joint venture between the University and Massey University, combining the musical programmes of both institutions.

The University now operates seven faculties, 27 schools and a number of Institutes and Centres across five campuses in Wellington.

VUW STATISTICS*	
No. of EFTS	17,085
No. of enrolments	21,889
No. of staff	1,985
No. of campus libraries	5

*2007 figures

VUW FACULTIES

Architecture and Design
Commerce and Administration
Education
Engineering and Computer Science*
Humanities and Social Sciences
Law
Science

*Pre-2009 Computer Science was included in The Faculty of Science

2 Institutional Repository Overview

The research archive was established to provide long-term storage and access to University research outputs such as theses and academic papers. The repository enables research students and academics (past, present and future) to highlight their work wherever in the world they are, thereby increasing the presence and impact of Victoria University of Wellington research outputs both nationally and internationally.

The repository consists of twin archives:
- **ResearchArchive**: is the public repository, which contains all material for which we have full copyright clearance. It is accessed through the repository URL or the Library OPAC catalogue. Is also harvested by Google Scholar[1], Kiwi Research Information Service (KRIS)[2] and OAIster.[3]
- **RestrictedArchive**: is the private repository that contains theses for which we do not have permission from the author to make their work openly accessible.

OVERVIEW OF REPOSITORY CONTENT

RESEARCH ARCHIVE
Books	2
Conference Papers	24
Journal Articles	33
Other	14
Working Papers / Technical Reports	57
Theses – Doctorate	392
Theses – Master	260

RESTRICTED ARCHIVE
Theses – Master & Doctorate	1218

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[1] Google Scholar http://scholar.google.co.nz/
[2] Kiwi Research Information Service (KRIS) http://nzresearch.org.nz/
[3] OAIster http://www.oaister.org/

No other material is held in this archive. The RestrictedArchive is only available to VUW staff and students via the Library OPAC catalogue or through the Interloan system.

Material regularly moves from the RestrictedArchive to the ResearchArchive as we receive copyright clearance from authors. RSS feeds of new deposits are available from the ResearchArchive and KRIS.

The Library also has two development repositories that are used for development, testing and training. They hold no valuable information, with content able to be altered, deleted or rearranged arbitrarily.

3   Institutional Repository Development

In 2006, an LCoNZ project was established to evaluate various institutional repository software applications with a view to recommending one application to be used in the development of a multi-institutional repository using the existing LCoNZ infrastructure. Technical evaluation of a range of software applications confirmed that DSpace was one of the best solutions in the short to medium term for its ease of use and customisation ability. Although it was decided not to proceed with a multi-institutional repository, valuable information was gathered during this project that assisted VUW in the creation of our own repository.

With the Universities of Auckland and Canterbury, VUW was granted funding from the Tertiary Education Commission (TEC) for the Institutional Repositories Aotearoa (IRA) project to implement an institutional repository based on DSpace. The TEC funding enabled the Library to purchase a dedicated server for the VUW repository and to employ a DSpace system administrator/programmer, shared with the University of Auckland and the University of Canterbury.

In December 2006 an appointment was made to the newly established role of Digital Research Repository Coordinator. This role was established to develop policy and processes surrounding research submission to the repository as well as encouraging academics to submit content by raising awareness of the institutional repository within the University and acting as an advocate for its use.

ResearchArchive@Victoria went live in 2008 with early content recruitment well underway. The focus for 2008 was to provide information and training sessions for Library staff and to increase exposure and involvement with the repository. Once trained, Library staff approached academics in their allocated subject areas to continue with content recruitment, provide information about the repository and copyright advice.

In August 2008, the management of the institutional repository moved to Collection Management, with continued involvement from other Library staff. With this move, the repository became 'business as usual' and was fully integrated into Library workflows.

4   Collaboration

The LCoNZ and IRA projects highlighted how useful collaboration between institutions can be and how much we gain by sharing information and expertise. All institutions had similar needs to develop workflows, copyright expertise, quality controls, etc. Although each institution's needs varied according to internal policy and priorities, the bulk of the work in establishing individual repositories was able to be shared, and the quality enhanced through active collaboration and information sharing.
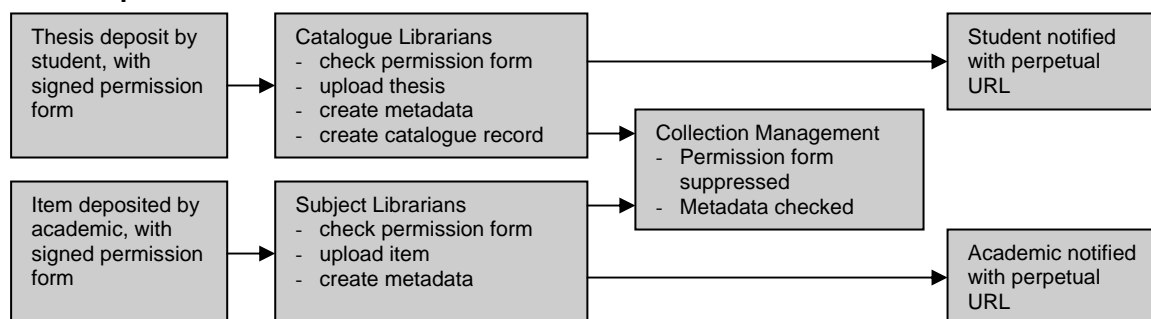
The Library continues to collaborate in the LCoNZ Institutional Research Repositories Operations Management Group to discuss and share ongoing issues, development and solutions.

The Doctorate and Masters Theses Digitisation Projects saw the collaboration of various groups within the Library, The New Zealand Electronic Text Centre (NZETC) and the University Alumni Relations Office. This collaboration continues to bring a shared understanding and to increase the skills and knowledge of all involved.

5   Institutional Repository Workflows

The repository, originally established as a project and managed by one person, has grown to become business as usual with operations being fully integrated into current workflows. There are a number of Library staff involved in the repository, each dealing with aspects of the repository that closely relate to their other responsibilities:

Item Deposit Workflow:

| Thesis deposit by student, with signed permission form | → | Catalogue Librarians
- check permission form
- upload thesis
- create metadata
- create catalogue record | → | Collection Management
- Permission form suppressed
- Metadata checked | → | Student notified with perpetual URL |
| Item deposited by academic, with signed permission form | → | Subject Librarians
- check permission form
- upload item
- create metadata | → | | → | Academic notified with perpetual URL |

- **Catalogue Librarians**: are responsible for managing the student thesis deposit workflow. This includes permission forms, uploading of content to the ResearchArchive or RestrictedArchive, metadata creation and creation of a bibliographic record for the Library OPAC catalogue. Problems are escalated to Collection Management.
- **Subject Librarians:** are responsible for managing the academic deposit workflow within their allocated subject areas. This includes content recruitment, permission forms, copyright advice, uploading of content to the ResearchArchive and creation of metadata. Problems are escalated to Collection Management.
- **Lead Architect, NZETC:** is responsible for development and customisation of DSpace and managing any technical issues that may arise.
- **Collection Management Librarians:** are responsible for managing the day-to-day running of the repository and any digitisation projects. This includes determining policy, problem solving, training, copyright advice and some technical assistance.

Additionally, the VUW Institutional Repository Advisory Group provides direction on policy and developmental issues as they arise.

6   Relationship with Research Management System

The implementation of the institutional repository was driven by the Library's goal to expand its digital collections and make them openly accessible. It was a Library collection building and access initiative to support researchers and research rather than driven by the PBRF process.

Currently, the research management system used by the University, Research Master, has no connection to the institutional repository. The two systems have been built in parallel, but with few interdependencies and little interoperability. On one hand this has

meant a certain amount of duplication, on the other, it has allowed the Library to pursue its own priorities, namely the retrospective digitisation of doctorate and masters theses.

In the future we aim to build a bridge between Research Master and the ResearchArchive. By establishing a closer relationship between the two systems, we hope to increase the exposure of academics to the repository and thereby increase the number of items deposited.

7   Institutional Embedding and Faculty Engagement

The repository has achieved a significant level of institutional embedding, including the Library Statute[4] and Library strategic planning processes. From 2008, all students completing a masters and doctorate theses must deposit both a print and electronic copy of their thesis.

University staff have been kept informed of the repository and advised of the benefits and opportunities of depositing their research. Many university staff have updated their profile pages with links to their research in the ResearchArchive. We have also made successful use of academic advocates who promote the use of the repository and can advise other staff of the benefits they have received from making their work available. We hope that in developing a relationship with the Research Management System used by VUW we will increase staff engagement.

8   Statistical Reporting

Monthly statistics are collected using Google Analytics[5] and KRIS[6] and circulated amongst Library staff. This information is used to update academics on the attention their work is receiving and to excite interest and 'buy-in' to the benefits of the ResearchArchive.

- **Absolute Unique Visitors**: this is the primary measure of traffic, and filters out repeat visitors (such as staff who maintain the archive) and robots.
- **Top Documents**: measures the number of visitors to the metadata page for each document. The top five visited documents for the month are included in the monthly statistics.
- **Top Searches**: measures the number of visitors coming to the website as a whole from search engines using a particular search query and the rank of the ResearchArchive on Google for that query. This is a somewhat volatile measure and is only taken as an indication.
- **Metadata Quality**: KRIS is checked monthly to ensure that our metadata remains at a high standard.

VUW STATISTICS February 2009	
Visits	7,927
Unique Visits	7,320
Page Views	21,929
New Visits	90.45%
Metadata Quality	100.00%

Outside the monthly statistics, other metrics from Google Analytics may be gathered as necessary in response to queries or to incite additional interest in the repository.

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[4] http://policy.vuw.ac.nz/Amphora!~~policy.vuw.ac.nz~POLICY~000000000021.pdf
[5] http://www.google.com/analytics/
[6] http://nzresearch.org.nz/index.php/

9   Challenges

There have been several challenges that have arisen in relation to the institutional repository:

- **Pre-Publication**: increasingly students are wishing to publish their theses, and although an embargo process is in place, some believe that to deposit their thesis in the open ResearchArchive may jeopardise acceptance for publication. This situation requires delicate negotiation to resolve.
- **Other Formats**: some theses include additional material in a variety of formats, including sound recordings, video clips, spreadsheets and databases. While some formats, such as spreadsheets, can be readily converted to PDF and uploaded to the repository, other formats can be more problematic. The decision was made to add these files to the repository in their original format, provided they fall within certain size parameters. This decision does however raise some software support concerns.
- **Copyright Management**: we have made the decision not to implement different levels of creative commons licenses at this stage. We only accept items for inclusion in the repository if we have full copyright permission to do so. Subject Librarians have been trained to assist academics in clarifying author and publisher rights and to assist authors in gaining permission from their publishers.
- **Large Items**: this problem has appeared mainly during the digitisation projects. Many older theses include large fold out maps and other items that are too large to digitise with the rest of the thesis. These are digitised separately and added as additional files wherever possible.

10   Current & Future Projects

Three digitisation projects have been undertaken in conjunction with the institutional repository. The decision was made by the Library to digitise its doctorate and masters theses collections with a view to providing wider access to theses within the University and increasing the visibility of University research outputs both nationally and internationally:

- **Doctorate Theses Digitisation Project**: approximately 1,200 doctoral theses were digitised during the period March-November 2008 and uploaded to the RestrictedArchive. Part of this process included contacting authors whenever possible to gain permission to move the theses to the open access ResearchArchive.[7]
- **Large Item and Other Format Doctorate Theses Digitisation Project**: approximately 30 of the 1,200 doctorate theses contained large format items such as foldout maps and images, with another 40 having additional material on CD or CD-Rom. During the period December 2008 – February 2009, the images were scanned and added as separate files under each item record. The additional material supplied on CD or CD-Rom was uploaded and added to the item record wherever possible.
- **Masters Theses Digitisation Project**: approximately 5,000 masters theses will be digitised during a two year period starting in March 2009. This project is already underway, with the first 300 theses having been sent for digitisation.

In the future, we hope to investigate the possibility of self-deposit, and to build closer relations with Research Master, the Research Management System used by VUW.

Emma Shepheard-Walwyn
Collection Management Coordinator (Acting)
30 March 2009

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[7] Further information on the Doctorate Theses Digitisation Project can be found in: Mason, I. (2008). Technical Report: Doctorate Theses Digitisation. Accessed 15 March 2009 from http://researcharchive.vuw.ac.nz/handle/10063/415.