



Spectrum: Concordia University Research Repository First Annual Report October 2010

Spectrum: Concordia University Research Repository was launched during Open Access Week, October 19 - 23, 2009, with the main content being over 6300 retrospective theses and dissertations. In its first year, *Spectrum* has made available to the world 186 articles, more than 60 monograph chapters and sections, and additional current and retrospective theses, all produced by Concordia researchers and students. *Spectrum* supports the landmark Concordia Senate Resolution on Open Access, which encourages researchers to make peer-reviewed research and creative output freely available via the Internet. *Spectrum* is also enabling the electronic submission of theses and dissertations at Concordia. The name *Spectrum* reflects the variety of original research and creative activity that characterizes the scholarly output of Concordia University.

Spectrum Begins

In January 2006 the Library and the Vice-President Research and Graduate Studies agreed to support an institutional repository initiative to preserve Concordia's research contributions, increase its research profile, and ensure access to publicly-funded research for all.

The Office of the Vice-President Research and Graduate Studies provided funding to acquire digital copies of Concordia theses and dissertations from 1967 – 2003 for loading. Theses from 1967 – 1996 existed only in paper and microfiche versions, and digital copies were created from microfiche masters.

The Library was responsible for systems development and staff support. In 2008, version 3.1 of EPrints, open source repository software, was chosen as the repository platform. The Library hired a programmer in 2009 and contracted with EPrints Services for support in undertaking the systems work, including development of an interface for searching, importing, depositing, and ensuring metadata that would be harvested for discovery. Digital files of the retrospective theses were prepared for loading. Metadata and records, including links to the library catalogue, had to be defined and organized. A number of the older theses contained pages with supervisors' signatures, and these pages were individually deleted from the digital copies by library staff. Licenses and copyright policies were developed and reviewed with the Office of the General Counsel.

Year 1 Progress, 2009-2010

Interoperability with Search Services

EPrints has built-in optimisations for compatibility with search engines such as Google Scholar (<http://scholar.google.ca/>). Google Scholar efficiently indexed and began to provide links to *Spectrum* in its search results almost immediately after its

launch. In addition, EPrints is compatible with the Open Archives Initiative Protocol for Metadata Harvesting, which allows academic open access search services such as BASE - Bielefeld Academic Search Engine (<http://www.base-search.net/>) to index Spectrum's contents. Similarly, Canadian Association of Research Libraries Open Archives Metadata Harvester (<http://carl-abrc-oai.lib.sfu.ca/>) is harvesting Spectrum's contents for its search service.

Deposits of Faculty Research

Concordia librarians responded to early faculty participation and initiated outreach projects to encourage deposit of retrospective research in Spectrum. Publication lists from some departmental websites were reviewed to identify articles that could be deposited in open access repositories, with the assistance of practicum students from Université de Montréal École de bibliothéconomie et des sciences de l'information and the McGill School of Information Sciences. In some cases, the library supported scanning materials that were not in digital format. With this assistance, faculty from a variety of disciplines successfully deposited publications.

The determination of whether publisher policies permitted deposit in open access repositories was a challenge. The SHERPA/RoMEO website is the standard source, but many journals are not listed and the information about what may be possible to deposit is often complex.

Publicity and Training for Faculty in Use of Spectrum

Workshops on depositing in Spectrum were offered in the Library during Open Access Week, and several workshops were given for departments. Email help and assistance were also available.

Support for Deposit of Non-Text Formats in Spectrum

The systems and interface issues to accept, archive, and make accessible text documents are relatively straightforward, since libraries have much experience with text. Dealing with audio and visual materials, or data files, is more complex. Spectrum has supported the deposit of representative examples of audio material and data files.

Electronic Thesis and Dissertation Pilot with Thesis Office

The interest in electronic submission of theses and dissertations dates back to 2007, and the Thesis Office was able to conduct a pilot in spring 2010, with graduate students who had volunteered for a dual process of print and electronic deposit.

Librarians worked with Thesis Office staff to:

- Define metadata and thesis record requirements and procedures
- Create an interface for deposit of Concordia theses
- Discuss standards and support needs for creation of archival copies
- Develop the editorial process for Thesis Office to control release of theses after appropriate acceptance
- Ensure that thesis metadata could be harvested by National Library of Canada.

Library systems staff developed the ETD-MS Interoperability Metadata Standard for Electronic Theses and Dissertations plugin for EPrints, a requirement for harvesting of Spectrum's theses and dissertations by Library and Archives Canada.

This pilot was successful in all phases, and the Thesis Office is planning for all theses to be submitted in electronic and print form in fall 2010.

Institutional Context: Senate Resolution on Open Access

A university-wide Resolution on Open Access was discussed in departments, faculty councils, and in Senate during spring 2010. This landmark resolution passed Senate with an overwhelming majority in May. Concordia is the first major university in Canada where faculty have given their overwhelming support to a concerted effort to make the full results of their research universally available. This resolution establishes a future direction for Spectrum, in supporting Concordia faculty who choose to deposit peer-reviewed research in their university repository.

This campus discussion was timely for Spectrum development since it increased understanding of policy and copyright issues for an institutional repository, and of institutional, research, individual questions around Open Access.

The Spectrum interface was revised to inform faculty of this resolution and ensure they were supported in either depositing research or informing the University Librarian that they did not plan to deposit.

Year Two Priorities, 2010-11

Supporting the implementation of the Senate Resolution on Open Access is key, with a priority to assist faculty to clarify journal open access policies and ensure appropriate versions of peer-reviewed research are deposited.

A platform upgrade to EPrints 3.2 is planned for fall 2010. Among other improvements, this upgrade will make possible reporting the number of downloads for each deposit. Interface improvements are also planned. Retrospective theses from 2004 – 2006 will be acquired from Proquest, and loaded into Spectrum.

Systematic development to ensure appropriate standards and support for audio, visual, and non-text formats is continuing.

The Library will work with the Thesis Office to support electronic and print submission of theses and dissertations in fall 2010, and ensure that students have access to appropriate software and support to deposit successfully in Spectrum.

A Spectrum Advisory Committee is being established, to review policy issues around Concordia's research repository, ensure user feedback, and provide university input into policy and management of Spectrum.

The Spectrum Working Group will continue to work with engaged faculty, students, and staff to advance Concordia's leadership in open access and to share Concordia's research and creative activity with its community worldwide.

Spectrum Working Group
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