

## Welcome

This study is part of a cooperative program between [eIFL.net](#), the [University of Kansas Libraries](#), the [DRIVER](#) project and [Key Perspectives Ltd.](#), and aims at creating an inventory of current digital repository activities in developing and transition countries, at both the infrastructure and services level.

This survey has been adapted from the DRIVER Inventory study into the present type and level of OAI-compliant digital repository activities in the EU by Maurits de Graaf and SURF, and from the European repository study by Alma Swan, Key Perspectives Ltd.

The results of this survey will be made available online via a wiki. All participants in this study will receive an invitation to look at and comment on the results of this inventory for their own country. This is the first time that such data will be collected about digital repository activity in developing and transition countries, and we hope this will serve as important resource for promoting open access and repository development in these regions. We look forward to your cooperation.

We encourage all repository managers in developing and transition countries to participate. The survey will take approximately 30-45 minutes to complete.

To help you prepare you can view a PDF preview of the survey questions here:

Win an eIFL t-shirt!

*All respondents who complete the survey by May 23, 2009 will be eligible to win one of three eIFL t-shirts. T-shirt winners will be chosen in a random drawing of all completed surveys.*



# Study Internet Information Statement

According to University of Kansas policies, below is the Study Internet Information Statement and consent form.

Approved by the Human Subjects Committee University of Kansas, Lawrence Campus (HSCL). Approval expires one year from 5/25/2008. HSCL#15967

## INTRODUCTION

This consent form grants the researchers permission to use data gathered during our study. The following information is provided for you to decide whether you wish to participate in the present study. You may decline to participate in this study. You should be aware that even if you agree to participate, you are free to withdraw at any time. If you do withdraw from this study, it will not affect your relationship with KU Libraries, the services it may provide to you, or the University of Kansas.

## PURPOSE OF THE STUDY

This study is intended to gather information about the current state of institutional repository activity in developing and transition countries. The results of the study will be made available online via a wiki, and may be summarized at conference presentations and in articles or reports submitted for publication.

## PROCEDURES

The researchers will gather information through a survey questions made available online. All participants in this study will receive an invitation to look at and comment on the results of this survey for their own country. No information will be published that might be used to identify you. The interview questions and answers will be retained and may be used for comparison in future research activities, though your identity will remain confidential.

## RISKS, BENEFITS & COMPENSATION

No risks to you will come from participation in this study. Your name will not be linked to any data collected by the investigators. No direct benefits for you will result from participation in the study. No compensation will be offered for your participation in this study.

## PARTICIPANT CONFIDENTIALITY

Your name will not be associated in any way with the information collected about you or with the research findings from this study. The researchers will not share information about you unless required by law or unless you give written permission. It is possible, however, with internet communications, that through intent or accident someone other than the intended recipient may see your response. Permission granted on this date to use and disclose your information remains in effect indefinitely. By completing this survey you give permission for the use and disclosure of your information for purposes of this study at any time in the future.

## CANCELLING THIS CONSENT AND AUTHORIZATION

You may withdraw your consent to participate in this study at any time. You also have the right to cancel your permission to use and disclose information collected about you, in writing, at any time, by sending your written request to: Brian Rosenblum, 320A Anschutz Library, 1301 Hoch Auditoria Dr, Lawrence, KS 66045. If you cancel permission to use your information, the researchers will stop collecting additional information about you. However, the research team may use and disclose information that was gathered before they received your cancellation, as described above.

## QUESTIONS ABOUT PARTICIPATION

Questions about procedures should be directed to Brian Rosenblum, Digital Initiatives Librarian, University of Kansas, 320A Anschutz Library, 1301 Hoch Auditoria Dr., Lawrence, KS 66045. (785) 864-8883, brianlee[[@](mailto:brianlee@ku.edu)]ku.edu

## PARTICIPANT CERTIFICATION

I have read this Consent and Authorization form. I have had the opportunity to ask, and I have received answers to, any questions I had regarding the study. I understand that if I have any additional questions about my rights as a research participant, I may call (785) 864-7429 or (785) 864-7385 or write the Human Subjects Committee Lawrence Campus (HSCL), University of Kansas, 2385 Irving Hill Road, Lawrence, Kansas 66045-7563, email dhann[[@](mailto:dhann@ku.edu)]ku.edu or mdenning[[@](mailto:mdenning@ku.edu)]ku.edu.

Completion of the survey indicates your willingness to participate in this project and that you are at least eighteen years old.

## Survey Definitions and Topics

For the purposes of this study, a digital repository is defined as:

1. containing research output
2. institutional or thematic
3. OAI compliant (<http://www.openarchives.org/OAI/openarchivesprotocol.html>)

The survey addresses the following topics:

- A: The establishment of your repository and its coverage of the research output of your institution
- B: Technical infrastructure and technical issues
- C: Institutional policies regarding the repository
- D: Staffing and sustainability
- E: Services created on top of the repository
- F: Stimulators and inhibitors for establishing, filling and maintaining the repository
- G: Information about your institution

## A: THE ESTABLISHMENT OF YOUR REPOSITORY AND ITS COVERAGE OF THE RESEARCH OU...

1. (A1) Does your institution presently maintain a digital repository for research output of your researchers?

Yes, one digital repository for research output (maintained by your institution itself)

Yes, more than one digital repository for research output (maintained by your institution itself)

Yes, our repository is hosted by another member of our consortium/collaborative group.

Yes, our repository is hosted by a third party or vendor.

No. Please comment on the policy and plan of your institution regarding a digital repository for research output, and the repository's current stage of development. Do not continue with the remainder of this questionnaire.

2. (A2) What is your repository's URL?

*(If your institution has more than one repository, please enter additional URLs below.)*

### 3. (A3) What was the motivation for your institution to establish a repository? (Please select any that apply)

	Very important	Important	Not very important	Not at all important
To increase the visibility of the institution's research output	jn	jn	jn	jn
To provide free access to the institution's research output	jn	jn	jn	jn
To preserve the institution's research output	jn	jn	jn	jn
In response to requests from faculty	jn	jn	jn	jn
To help evaluate researchers and departments	jn	jn	jn	jn

If you wish to add any further details, please do so here:

4. (A4) In which year did your repository become publicly accessible?

2002 or earlier

2003

2004

2005

2006

2007

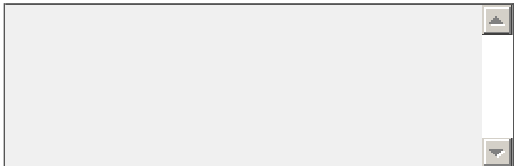
2008

2009

5. (A5) Which departments or units within your institution have actively advocated the establishment of a repository? (Please select any that apply.)

- Administration
- Research Office/Committee
- Academic departments
- Library
- Information Technology
- Corporate Communication or Marketing Division
- Other

If you wish to add any details, please do so here:



6. (A6) What types of materials are currently in your institution's digital repository?  
(Check all that apply. If your institution maintains more than one digital repository,  
please include all of them here.)

- research articles (full text and metadata) as preprints
- research articles (full text and metadata) as peer-reviewed postprints
- research articles (metadata only)
- theses and dissertations (full text and metadata)
- theses and dissertations (metadata only)
- conference papers
- technical reports
- books/ book chapters (full text and metadata) in drafts
- books/ book chapters (full text and metadata) in published form
- books/ book chapters (metadata only)
- learning objects
- working papers (full text and metadata)
- working papers (metadata only)
- data sets
- images
- video
- audio
- presentations (e.g. PowerPoint files)
- institutional documents (e.g. reports, papers, yearbooks, catalogues etc.)
- journals published from the institution
- other

Please comment:

7. (A7) Please give (an estimate of) the total number of items per type of materials currently available in your institution's digital repository? (if the type of material is not available, please enter "0")

research articles (full text and metadata) as preprints	<input type="text"/>
research articles (full text and metadata) as peer-reviewed postprints	<input type="text"/>
research articles (metadata only)	<input type="text"/>
theses and dissertations (full text and metadata)	<input type="text"/>
theses and dissertations (metadata only)	<input type="text"/>
conference papers	<input type="text"/>
technical reports	<input type="text"/>
books/ book chapters (full text and metadata) in drafts	<input type="text"/>
books/ book chapters (full text and metadata) in published form	<input type="text"/>
books/ book chapters (metadata only)	<input type="text"/>
learning objects	<input type="text"/>
working papers (full text and metadata)	<input type="text"/>
working papers (metadata only)	<input type="text"/>
data sets	<input type="text"/>
images	<input type="text"/>
video	<input type="text"/>
audio	<input type="text"/>
presentations (e.g. PowerPoint files)	<input type="text"/>
institutional documents (e.g. reports, papers, yearbooks, catalogues etc.)	<input type="text"/>
journals published from the institution	<input type="text"/>
other	<input type="text"/>

8. (A8) Please give (an estimate of) the number of items per type of materials that have been added in the last year (2008) in your institution's digital repository? (if the type of material has not been added in the last year, please enter "0")

research articles (full text and metadata) as preprints	<input type="text"/>
research articles (full text and metadata) as peer-reviewed postprints	<input type="text"/>
research articles (metadata only)	<input type="text"/>
theses and dissertations (full text and metadata)	<input type="text"/>
theses and dissertations (metadata only)	<input type="text"/>
conference papers	<input type="text"/>
technical reports	<input type="text"/>
books/ book chapters (full text and metadata) in drafts	<input type="text"/>
books/ book chapters (full text and metadata) in published form	<input type="text"/>
books/ book chapters (metadata only)	<input type="text"/>
learning objects	<input type="text"/>
working papers (full text and metadata)	<input type="text"/>
working papers (metadata only)	<input type="text"/>
data sets	<input type="text"/>
images	<input type="text"/>
video	<input type="text"/>
audio	<input type="text"/>
presentations (e.g. PowerPoint files)	<input type="text"/>
institutional documents (e.g. reports, papers, yearbooks, catalogues etc.)	<input type="text"/>
journals published from the institution	<input type="text"/>
other	<input type="text"/>

9. (A9) Please give an estimate of the percentages of each form of availability of the full text materials in your digital repository: (Please make the percentages add up to 100)

Open Access: publicly available

Open Access with embargo: publicly available after a certain period

Campus access: only available for users within our institution

No access: archived but NOT available at all

Other

10. (A10) Does your digital repository collect and provide access to government information (or operate as a depository for governmental information)?

Yes

No

I don't know

11. (A11) Approximately how many researchers or faculty members work at your institution?

less than 100

101-250

251-500

501-1000

1001-2500

2501-5000

5001-10000

more than 10000

12. (A12) Approximately what percentage of the researchers or faculty members at your institution have deposited material in your repository?

less than 25%

25-50%

50-75%

75-99%

100%

13. (A13) Which statement best describes the process of depositing of materials in the repository?

Self-depositing by researchers and authors, no quality control by specialised staff members

Self-depositing by researchers and authors, quality control by specialised staff members

Researchers and authors provide content to specialised staff members or librarians to deposit into the repository

Material is collected by staff members or librarians independently of the authors or researchers. If materials are collected by staff members, please describe in the box below how items are selected to be included in the repository:

Other

Please comment

## B: TECHNICAL INFRASTRUCTURE AND TECHNICAL ISSUES

14. (B1) Which software package is used for the digital repository?

CDS Invenio (formerly CDSware)

DSpace

EPrints

Fedora

Locally developed software package (please specify)

Other (please specify):

15. (B2) Has the software been significantly modified to enhance functionality, or to adapt it to your local needs? [note: not just to "brand" the interface]

No significant changes have been made

Some significant changes have been made

We make frequent significant changes on an ongoing basis

We plan to make significant changes

Please describe any significant changes you have made to the software:

16. (B3) In round figures and in your own currency (we will convert all amounts to Euros), please give the costs as far as you are able for the hardware (server space and any new communications hardware) required for your repository. (If you wish to make any comments about costs, please do so.)

17. (B4) In round figures and in your own currency (we will convert all amounts to Euros), please give the costs as far as you are able for the software required for your repository. (If you wish to make any comments about costs, please do so.)

18. (B5) Please indicate the overall staffing requirement in full time equivalents that has been needed for building the repository (obtaining software, branding the interface, etc.).

19. (B6) Please indicate which file formats are accepted and preserved:

	Accepted	Preserved
XML	€	€
SGML	€	€
HTML	€	€
PDF	€	€
ASCII	€	€
RTF	€	€
MSWord	€	€
JPEG	€	€
TIFF	€	€
GIF	€	€
AIFF	€	€
LaTex	€	€
WAV	€	€
MP3	€	€
Other?	€	€

Comments:

20. (B7) Is a persistent identifier assigned to each item?

Yes

No

Don't Know

Comments:

21. (B8) Are statistical data on access to the repository and usage of the materials logged?

Yes

No

Don't Know

Comments:

22. (B9) Which metadata standards are followed with your digital repository?

- Archival metadata
- Dublin Core (qualified)
- Dublin Core (unqualified)
- ONIX
- Print-on-demand metadata
- Other

Please comment:

23. (B10) Who enters the metadata for deposited items? Please select any that apply.

- Authors or their authorised depositors
- Repository staff
- Subject Librarians
- Cataloguers
- Other

Please comment:

24. (B10a) Which of the following describe how metadata is created and/or enhanced? Please select any that apply.

- Authors or their authorised depositors enter simple metadata (e.g. Dublin Core)
- Repository staff (or other specialists) enhance depositor-supplied metadata
- Repository staff (or other specialists) enter simple metadata when depositing on behalf of authors
- Repository staff (or other specialists) catalogue deposited documents based on local cataloguing standards
- Other

Please comment:

## 25. (B11) Does the repository import metadata from external systems?

External metadata are not imported

External metadata are mapped to the repository metadata format(s) by systems programs

External metadata are mapped manually to the repository metadata format(s)

If you wish to add further detail about the types of metadata and how they are handled please do so here:



26. (B12) Which statement best describes the subject indexing of your digital repository?

No subject indexing

Freely assigned keywords (in the language of the country)

Freely assigned keywords (in the language of the country and/or English)

Keywords or classifications according to (a) standardised system(s) (in the language of the country)

Keywords or classifications according to (a) standardised system(s) (in the language of the country and/or in English)

Please comment:

27. (B13) Is a unique author identifier or name authority control used?

Yes

No, but we are developing such name authority control in the near future

Don't know

Please comment:

## C: INSTITUTIONAL POLICIES REGARDING THE DIGITAL REPOSITORY

28. (C1) Which statement best describes the policy of your institution with regard to depositing material?

Mandatory depositing: academics are required to deposit all research output

Partly mandatory depositing: academics are required to deposit some materials (like theses or dissertations), and free to deposit other materials

Deposit is voluntary, but academics are strongly encouraged to deposit materials

No official policy

Other

Please comment:

29. (C2) Whose materials may be deposited in the repository?

- Faculty/research staff
- Research students
- Undergraduate students
- Administrative and support staff
- Other

Please comment:

30. (C3) Do authorised depositors sign a deposit agreement (including click-through web form agreements)?

Yes

No

Don't Know

Please comment:

31. (C4) Do you negotiate with publishers or copyright owners about any aspect of your repository's operations?

Yes

No

Don't Know

If you answered Yes and wish to provide more details, please do so here:

32. (C5) Please tick the statements below that are valid for the digital repository in your institution (tick all that apply).

- In our institution the deposited materials are used to measure the output of individual researchers for evaluation purposes (accountability).
- Some researchers in our institution are required to deposit research output by research-funding organisations in our country.
- Awareness-raising campaign(s) among academics about the digital repository have been carried out within our institution.
- There is strong interest in the digital repository among decision makers within our institution
- There are clear guidelines for the selection of material for inclusion in the digital repository.
- There is a policy to safeguard the long-term preservation of the deposited material.
- The digital repository in our institution is integrated/linked with other systems in our institution.
- The digital repository of our institution has been set up with financial support from a national funding programme for digital repositories in our country.
- There is a coordinating national body for digital repositories, with which we are in contact.
- There is a central gateway to the digital repositories in our country, to which our digital repository is linked.

Please add any comments on your institutional policies:

## D. STAFFING AND SUSTAINABILITY

33. (D1) Which unit in your institution has primary responsibility for maintaining your digital repository?

Library

Central IT unit

Individual research department

Other

Please comment:

34. (D2) In addition to the above unit, which other units or individual staff members in your institution contribute to maintaining your digital repository?

- Library
- Central IT unit
- Administrative staff
- Individual research department
- Student or other temporary labour
- No other units
- Others (please comment):

35. (D3) Please indicate the overall staffing requirement in full time equivalents that has been needed for running the repository since it was established. (Please add a comment if necessary.)

36. (D4) Please indicate whether any of the following apply:

We anticipate increasing our staffing level for the repository

We anticipate that the staffing level for the repository will remain static

We anticipate decreasing the staffing level needed for the repository

None of these apply

Please comment:

37. (D5) Are there clear responsibilities documented in a job description or statement of responsibilities for the person or unit responsible for supporting your repository service?

Yes

No

Don't Know

Please comment:

38. (D6) What are the current sources of financial support for your repository?  
(Check all that apply.)

- Library operating budget
- IT operating budget
- Grant support
- Endowment funds
- Revenue from services
- Chargeback to department or research units
- Other (please specify)

39. (D7) What are the expected future sources of support for your repository?

- Library operating budget
- IT operating budget
- Grant support
- Endowment funds
- Revenue from services
- Chargeback to department or research units

Other (please specify)

40. D8. Do you have a business plan to support your repository service?

Yes

No

Don't Know

Please comment:

41. (D9) Has any formal assessment been done on your repository in the following ways? (Please select any that apply.)

- Workflow and the best way to organise it
- Financial implications
- Staff resourcing
- Content recruitment and user attitudes
- No formal assessment has been done
- Don't know
- Other

If you selected "Other" and wish to provide more details, please do so here:

## E: SERVICES CREATED ON TOP OF THE REPOSITORY

42. (E1) Have you registered your repository with any of the following general engines/gateways/ portals: (Please tick all boxes that apply.)

- BASE
- Citeseer: Computer Science
- General internet search engines such as Google, Yahoo, MSN etc.
- Google Scholar
- MEIND
- MetaGer
- OAI Search
- OAIster
- OASE
- OpenDOAR
- OPUS
- PLEIADI
- Registry of Open Access Repositories (ROAR)
- Scirus

Other (please elaborate):

43. (E2) Are the contents of your digital repository listed in the following catalogues:

National/ regional catalogue

OCLC

Catalogue of our library

Other

Please name the national catalogue(s) or add any other comments:

44. (E3) Is your digital repository linked to printing-on-demand services?

Yes

No

No, but we plan such a service in the future

Please comment:

45. (E4) Does your digital repository display usage statistics for each digital item?

Yes

No

No, but we plan to in the future

Please comment:

46. (E5) Does your digital repository offer personal services for the depositing researchers, such as an automatically generated publication list, or an author home page?

Yes

No

No, but we plan such a service in the future

Please comment:

47. (E6) Are there other services existing or planned based on your digital repository?

Yes

No

Don't know

Please comment (if possible with example and/or URL):

48. (E7) Which services do you feel should have priority for further development at an international scale?

*(Please tick a maximum of 3 items)*

- general search engines/gateways/portals
- disciplinary/ thematic search engines/gateways/portals/repositories
- advisory services (technical aspects)
- advisory services (Open Access advocacy)
- cataloguing or metadata creation/ enhancement services
- citation index services
- personal services for the depositing scientists
- preservation services
- printing-on-demand services
- publishing services
- repository hosting services
- research assessment/evaluation services
- usage statistics services
- other services

Please comment:

## F: STIMULATORS AND INHIBITORS FOR ESTABLISHING, FILLING AND MAINTAINING THE...

49. (F1) What do you see as the most important STIMULANTS for the development of the digital repository and its content at your institution?

*(Please tick a maximum of 3 items.)*

- our simple and user-friendly depositing process
- our institutional policy of mandatory depositing
- our institutional policy of accountability
- the requirements of research-funding organisations in our country regarding depositing research output in Open Access repositories
- awareness-raising efforts among the academics in our institution
- increased visibility and citations for the publications of the academics in our institution
- interest from the decision makers within our institution
- our clear guidelines for selection of material for inclusion
- our policy to safeguard the long-term preservation of the deposited material
- integration/linking of the digital repository with other systems in our institution
- financial support from a national funding programme for the digital repository in our institution
- coordination of a national body for digital repositories
- search services as provided by national and international gateways
- the situation with regard to copyright of (to be) published materials and the knowledge about this among academics in our institution
- other

Please comment:

50. (F2) What do you see as the most important INHIBITORS for the development of the digital repository and its contents in your institution?

*(Please tick a maximum of 3 items.)*

- lack of a simple and user-friendly depositing process
- lack of an institutional policy of mandatory depositing
- lack of an institutional policy of accountability
- lack of requirements of research funding organisations in our country regarding depositing research output in Open Access repositories
- lack of awareness-raising efforts among the academics in our institution
- lack of support for increased visibility and citations for the publications of the academics in our institution
- lack of interest from the decision makers within our institution
- lack of clear guidelines for selection of material for inclusion
- lack of a policy to safeguard the long-term preservation of the deposited material
- lack of integration/linking of the digital repository with other systems in our institution
- lack of financial support from a national funding programme for the digital repository in our institution
- lack of coordination of a national body for digital repositories
- lack of search services as provided by national and international gateways
- the situation with regard to copyright of (to be) published materials and the knowledge about this among academics in our institution
- other

Please comment:

51. (F3) How successful do you think your repository has been in achieving the following benefits?

	Very successful	Quite successful	Not very successful	Not at all successful	Not sure
Enhancing the visibility and increasing dissemination of the institution's scholarship	jn	jn	jn	jn	jn
Providing free, open and timely access to the institution's scholarship	jn	jn	jn	jn	jn
Preserving and providing long term access to the institution's scholarship	jn	jn	jn	jn	jn
Preserving and providing stewardship of the institution's scholarship	jn	jn	jn	jn	jn
Educating faculty about open access	jn	jn	jn	jn	jn
Educating faculty about copyright	jn	jn	jn	jn	jn
Educating faculty about scholarly communication in general	jn	jn	jn	jn	jn

If you wish to add further details, please do so here:

52. (F4) What challenges has your institution faced in implementing, promoting and running the repository?

	Major challenge	Challenge	Not much of a challenge	Not a challenge	Don't know or not applicable
Content recruitment	jn	jn	jn	jn	jn
Staffing issues	jn	jn	jn	jn	jn
Engendering faculty awareness and engagement	jn	jn	jn	jn	jn
Communicating with faculty about the repository	jn	jn	jn	jn	jn
Copyright issues	jn	jn	jn	jn	jn
Securing adequate funding and other resources	jn	jn	jn	jn	jn
Integrating the repository into workflow and other existing structures	jn	jn	jn	jn	jn

If you wish to add further details, please do so here:

53. (F5) In what ways have you marketed your repository to faculty and scholars?  
(Please check all that apply.)

- providing training sessions
- speaking at departmental and other faculty meetings
- creating and distributing brochures or other informational material
- publishing information in newsletters or other local publications

other (please describe):

54. (F6) In your opinion, what issue should be highest on the priority list for the further development of digital repositories in developing and transitions countries?

55. (F7) Are there any other issues on which you would like to comment?

## G. INFORMATION ABOUT YOUR INSTITUTION

56. (G1) My institution is best described as:

University

College

Governmental research institution

Other non-governmental research institution

Other (please elaborate):

57. G2. My institution is based in:

Other (please specify)

58. (G3) The results of this study for your country will be published online in a wiki, to which you can add additional information and comments. We will email you the details of this wiki later. For this purpose, please provide your contact details below (the other survey questions will be processed anonymously):

Name of your institution:

Short description of your digital repository:

Name of contact person for the digital repository:

Email address of this contact person: