

Walking towards integrating CRIS and repository at the UPF:

The CRIS/IR Interoperability Project

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SIGMA

helping universities succeed

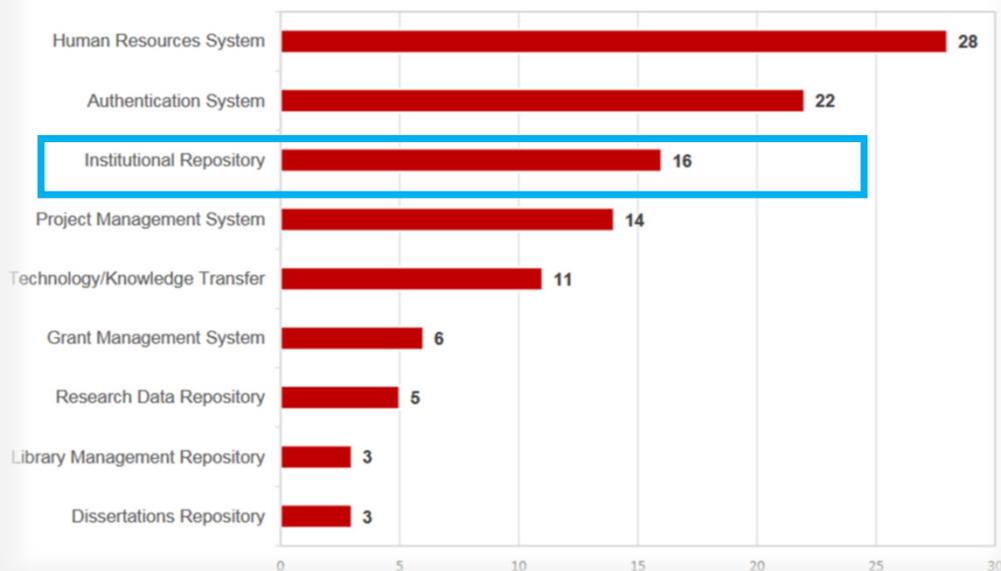


1 The project conception

The project conception

Open-access repositories that are managed by universities and other research institutions —i.e. institutional repositories (IR)— have become outstanding pieces in the national and international research ecosystem. Being one of the most relevant institutional systems interacting with CRIS, the IR ranks third behind the HR and institutional authentication systems.

Institutional systems that interact with CRIS



Internal Systems that Interoperate with Your RIM System (n=184)

Note: Respondents could select more than one answer

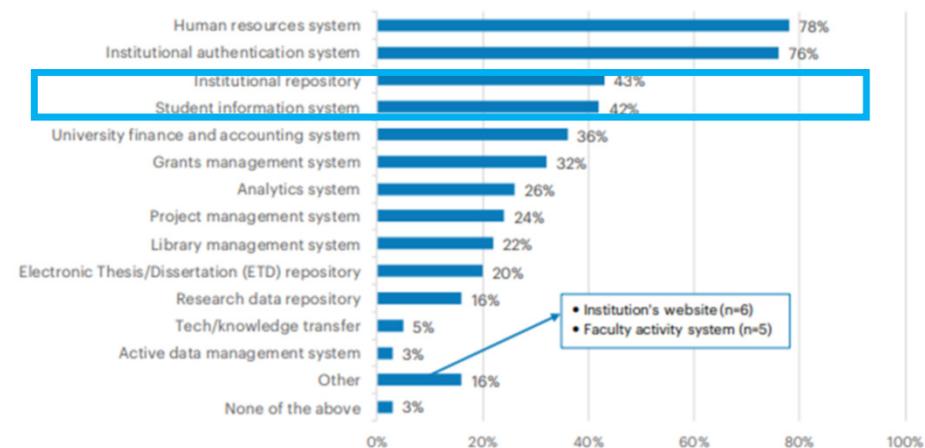
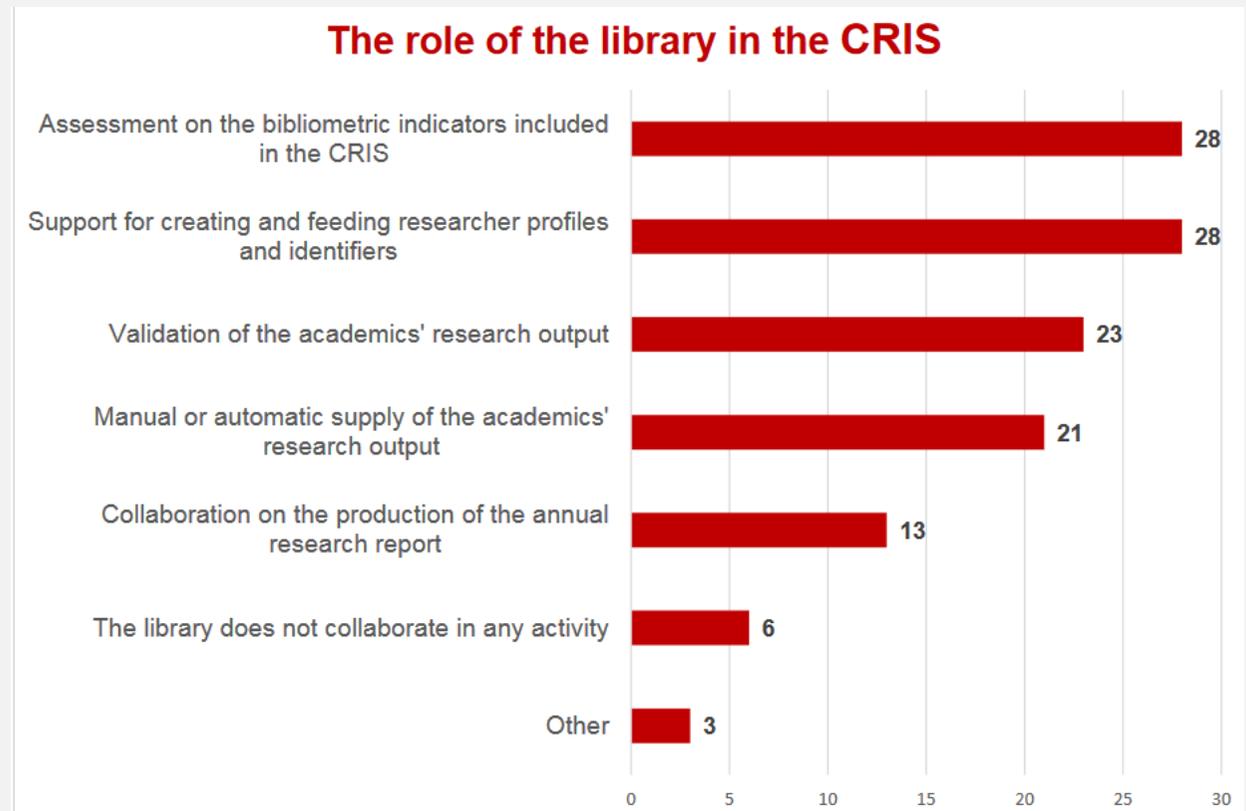


FIGURE 45. Internal systems with which live RIM systems interoperate.

The project conception

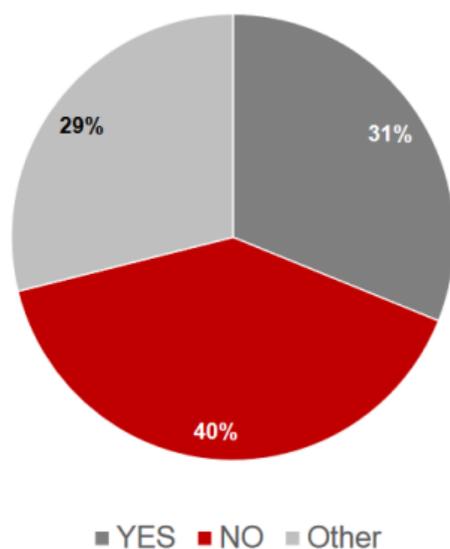
The institutional library also plays a relevant role.



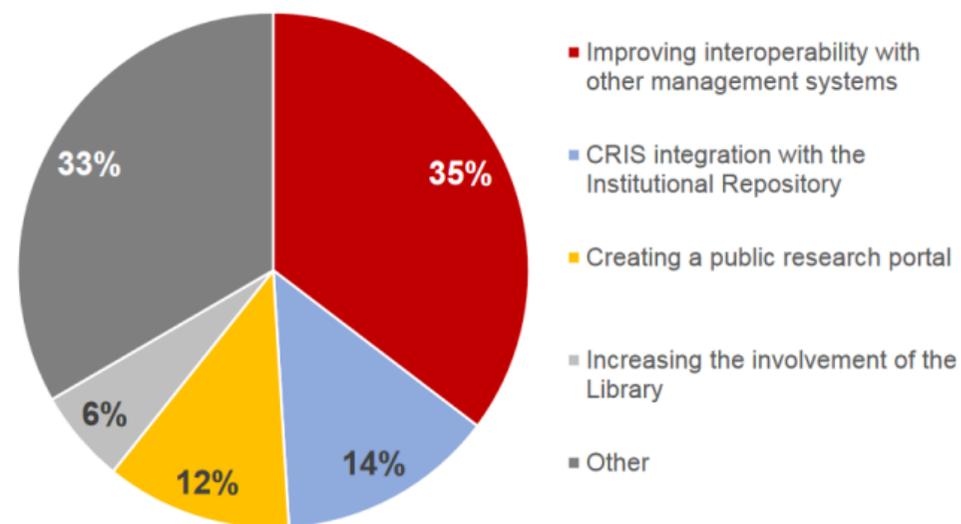
The project conception

We can conclude that, even though in the vast majority of Spanish institutions' CRIS and IR aren't integrated, their interoperability is considered to be one of the top priorities.

Are the Institutional Repository and CRIS integrated?



Improvements to be introduced in the CRIS



The project conception



Even more so, we have policies and recommendations describing how and when we can upload information into the institutional repository

The screenshot displays the SHERPA/ROMEO website interface. On the left, a vertical flowchart titled 'Versiones de los artículos científicos' shows the stages of a manuscript: Draft / Discussion Paper (Borrador de trabajo), Preprint / Submitted Version (Versión enviada al editor), Revisión por pares, Postprint / Accepted Manuscript (Versión final de los autores que incluye los cambios propuestos por los revisores. También llamada Author's final proof), and Published Version (Versión final publicada por el editor). The bottom left corner features the CRUE logo (Universidades Españolas) and the Red de Bibliotecas REBIUN logo.

The central part of the image shows the SHERPA/ROMEO logo and the heading 'Publisher copyright policies & self-archiving'. Below this is a search section with the following options:

- Journal titles or ISSN
- Publisher names
- Exact title
- starts with
- contains
- ISSN

Buttons for 'Advanced Search', 'Search', and 'Reset' are visible. Below the search options, a text box reads: 'Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.'

On the right side, a section titled 'Beneficios de publicar en los repositorios institucionales' lists objectives: Difusión, Visibilidad, Impacto, and Preservación. It is divided into two columns: 'a la universidad' and 'a la sociedad'. The 'a la universidad' column lists: Resumir y difundir al mundo la producción científica y académica de la institución; Aumento de la visibilidad de la institución a través de las obras de sus autores y mejora del posicionamiento en Google; and Preservación para el futuro de la obra de los autores y de la actividad intelectual de la universidad. The 'a la sociedad' column lists: Acceso al conocimiento para toda la sociedad y reutilización en beneficio de todos; Permite visibilizar y rendir cuentas de la inversión pública realizada en investigación; and Disminuye la brecha de acceso a la información entre las instituciones y países.

The project conception

UPF's current scientific output ecosystem

PPC-CRIS

SIGMA

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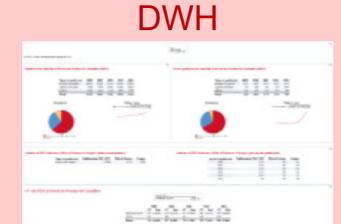
IR - DSpace



Experts Guide



Institutional websites



Reports



OpenAIRE



Recercat



Recolecta

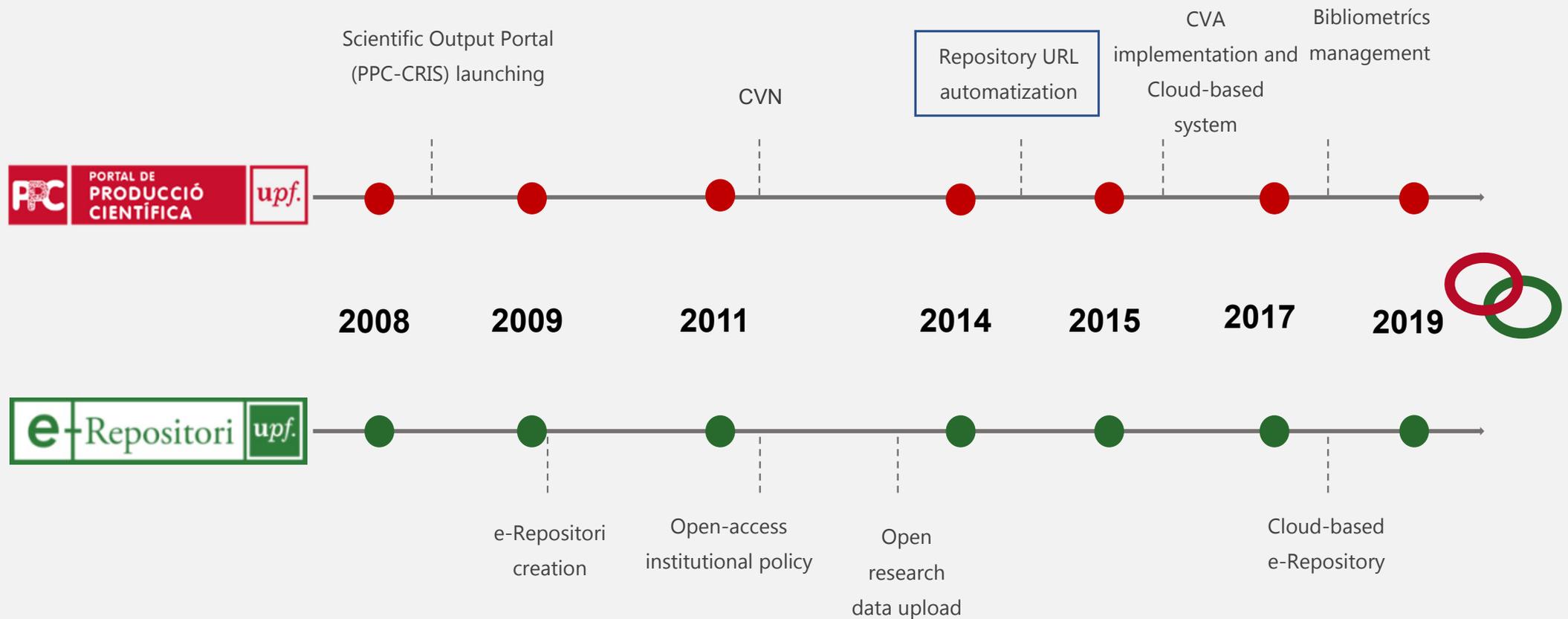


Google



The project conception

UPF's current scientific output ecosystem



The project conception

UPF's current scientific output ecosystem

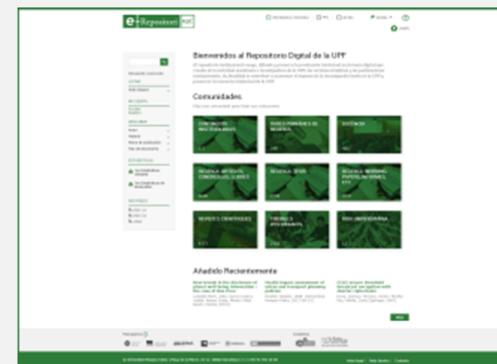
Works with in-house development to collect data to simplify upload to the IR.

But not integrated in the CRIS

Repository management application
(*in-house development*):



- **Manage publisher copyright policies**
- Assign metadata
- Upload records into the IR
- Track processes and communications related to:
 - Files
 - Embargos
 - Funding
 - ...



e-Repository : UPF Digital repository

The project conception

UPF's Scientific Output Portal (PPC-CRIS):

- Serve as researchers' **main source** of scientific output data.
- Build and manage researchers' **CVs**.
- Feed **institutional webpages** (department and group sites) and **personal sites** with scientific output data.
- Offer the latest university's **research activities**.
- Provides an **Experts directory**.

The screenshot shows the homepage of the UPF Scientific Output Portal. At the top, there is a navigation bar with the PPC logo, 'SCIENTIFIC OUTPUT', and the UPF logo. To the right, there are links for 'cat', 'esp', 'eng', 'Help', 'Contact', 'UPF website', and 'Intranet'. Below the navigation bar, there is a search bar with a placeholder 'Type a word or phrase', a dropdown menu set to 'Researcher', and a search icon. To the right of the search bar, it says 'You need help?'. Below the search bar, there are four tabs: 'DEPARTMENT', 'GROUP', 'UNIT', and 'SPECIFIC CENTER', each with a plus sign. The main content area is divided into two columns. The left column has a section titled 'What is PPC?' with a sub-header 'What is PPC?' and a paragraph: 'UPF scientific output includes research projects, publications, congresses, directed thesis and other academic and research activities by UPF researchers'. The right column has a section titled 'PPC figures' with a sub-header 'PPC figures' and two columns of statistics: '1.527 researchers', '123.850 publications', and '4.126 directed thesis' on the left; and '11.689 projects' and '53.427 congresses' on the right. Below these sections, there is a 'Links' section with four items: 'UPF EXPERTS GUIDE' (Experts Guide), 'e+Repositori upf' (Digital Repository at UPF), 'PRC' (Portal de la Recerca de Catalunya), and a lightbulb icon (Support for scientific publication).

Yes! Enter data once, reuse it many times!!!!

10Enter onve,

HELPING
UNIVERSITIES
SUCCEED



2

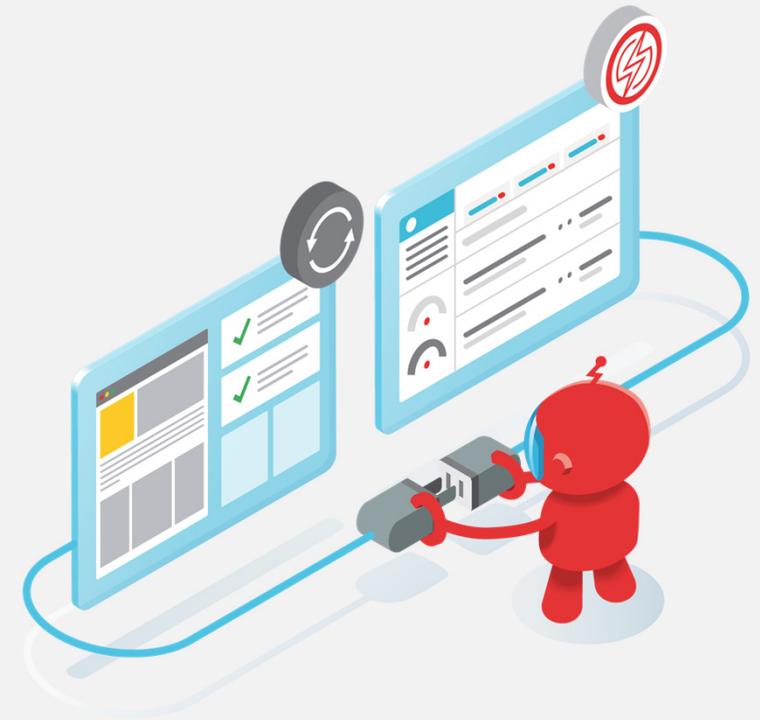
The project definition

The project definition

The project defines the integration of the SIGMA's scientific output management tool (the CRIS) with the institutional repository (generally Dspace), to provide its users the uploading process of research items to the repository.

The resulting system automates and unifies the uploading process of the digital documentation with the introduction of the item metadata.

Applied to: Journal articles, books, book chapters and congress participations.



The project goals

Goal #1:

- Expand CRIS' functionalities, covering the whole scientific output cycle by connecting CRIS and repository.
- Reduce the time between a publication's submission to the CRIS and its input into the IR as an open access item.
- Eliminate the in-house-development REC (Repository management application)



Goal #2:

- Develop the project in collaboration with a group of SIGMA's universities, sharing experiences and knowledge.



The project process

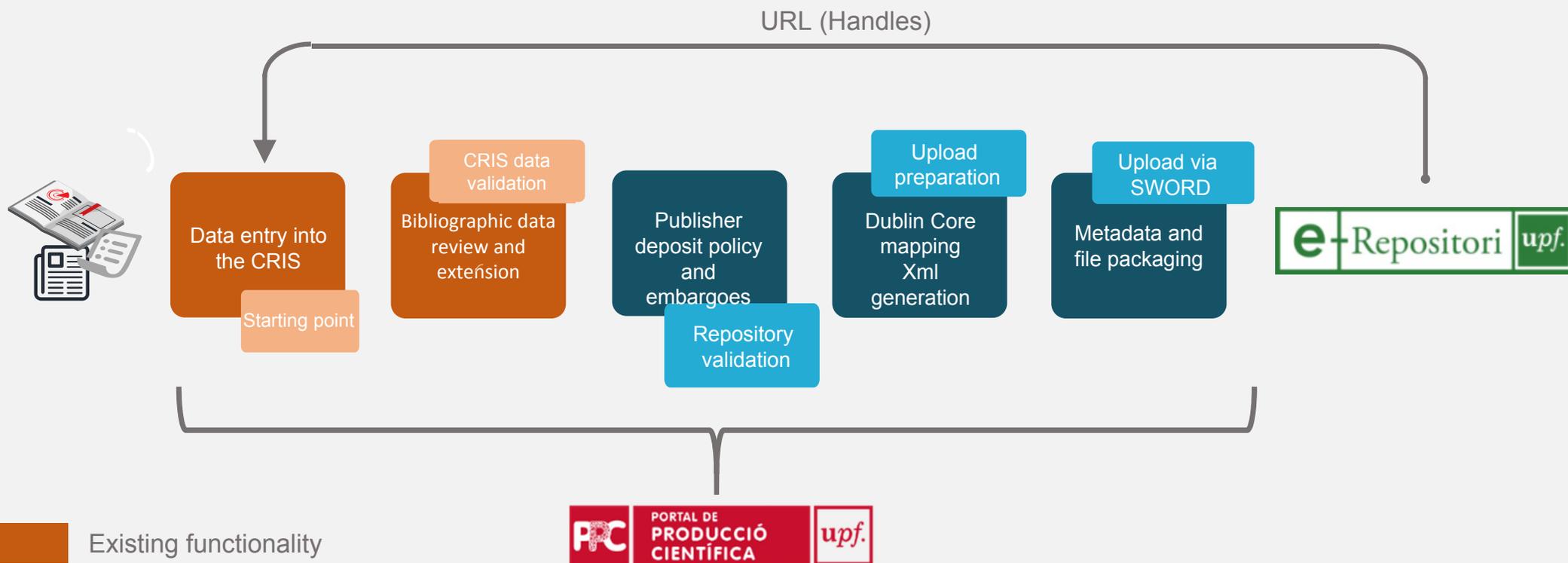
New functionalities developed for the CRIS/IR interoperability project:

- Review publishers' policies regarding open-access repository deposit to know the version that can be deposited in the repository (draft, preprint version, accepted version or published version), if there is an embargo period and its duration and what mention of copyrights should be considered.
- Transform CRIS' registry data into the Dublin Core metadata schema (XML).
- Load metadata and files into the institutional repository using the SWORD API protocol.
- Automatically register the IR's permanent URLs (handles) into the corresponding CRIS records.

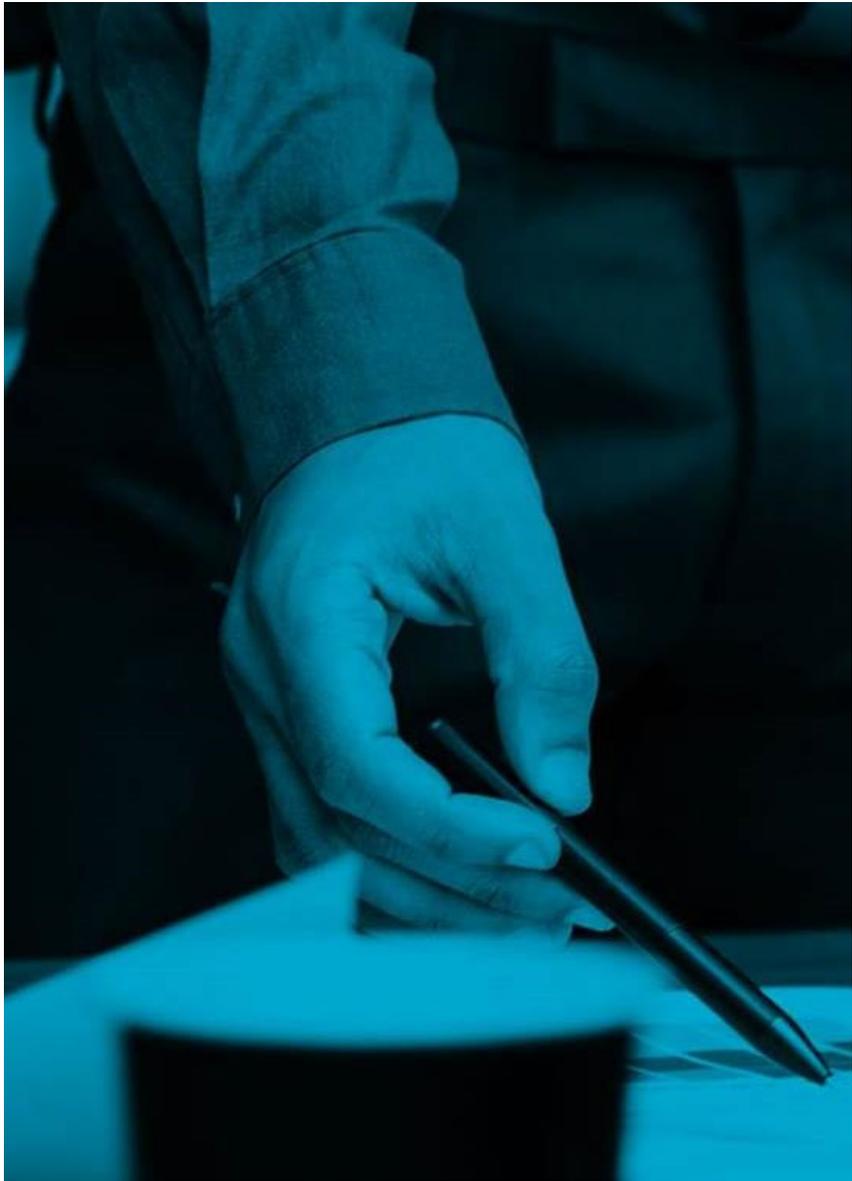


The project process

Process flow:



- Existing functionality
- New functionality



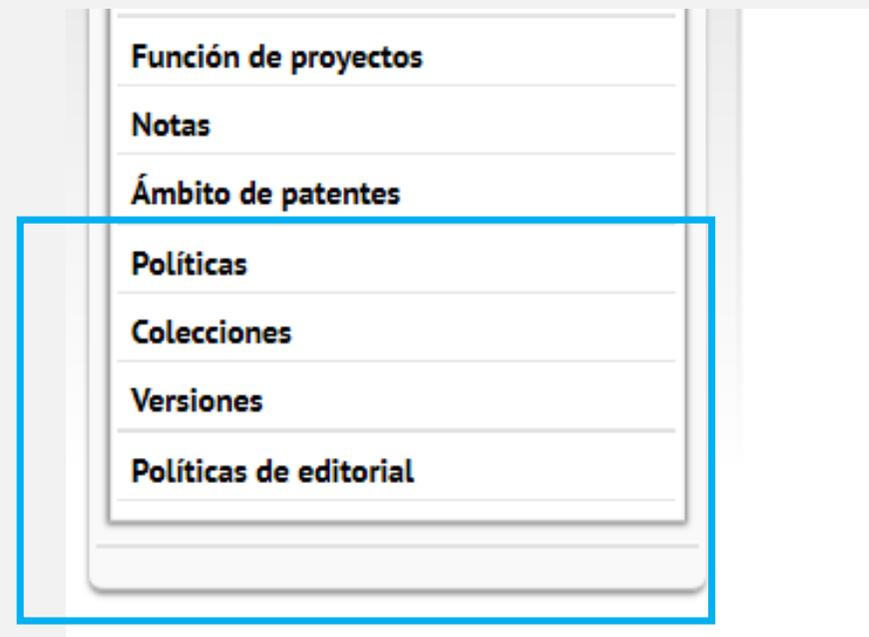
The product

The process

Step 1. Define general data

First we must define:

- **Policies**
 - Type of items allowed to deposit
- **Repository collections**
- **Allowed article versions for deposit**
 - *Draft, preprint, postprint, published version*
- **Publisher policies**



A screenshot of a form with several sections. A blue rectangular box highlights the 'Políticas' section. The sections are:

- Función de proyectos
- Notas
- Ámbito de patentes
- Políticas** (highlighted)
- Colecciones
- Versiones
- Políticas de editorial

The process.

Step 1. Define general data.

Example of publishers' policies definition

Búsqueda

Nombre de política editorial

Versión

Política

ISSN

Edición de Políticas de Editorial

Nombre de la Política de Editorial*  Buscador Online

ISSN  SHERPA/RoMEO

Nombre de la Exportación*

URL Licencia

Versión*

Período de Embargo*

Mención de Derechos*

Fichero Licencia 

Dirección Electrónica

Política

Fecha de Revisión*

Notas

SHERPA/RoMEO link

 **SHERPA/RoMEO**

Publisher copyright policies & self-archiving

Search

Journal titles or ISSNs Publisher names

Exact title starts with contains ISSN

[Advanced Search](#)

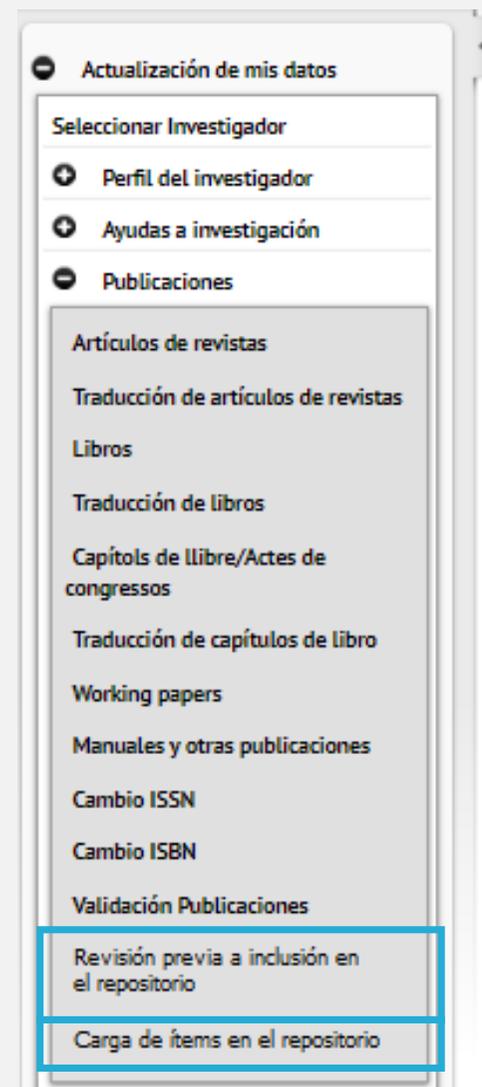
Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

The process

Step 2. Manage items and file status

Once the common data has been defined, we proceed to review the items' data before uploading it to the IR by accessing to these menu options:

- Review data prior to item upload into the repository
- Load files into the repository
- Update repository handle



The process

Step 2. Manage items and file status

Example of Item metadata and data validation process prior to uploading the file into the repository.

Información adicional

Tipo artículo: Artículos de investigación
Página inicial: 111 | Página final: 111
Estado publicación: Publicado

Adjuntar fichero postprint para publicarlo en el e-Repositorio [PostPrint_1563272325825_43884.pdf](#) ✖

Comentario (postprint):
Adjuntar fichero dataset: Formato del Dataset:
Comentario (Dataset):
Adjuntar fichero código: Formato del Código:
Comentario (Código):
Adjuntar Fichero Otros Recursos: Formato de Otros Recursos:
Comentario (Otros Recursos):
Open Access:
URL Repositorio:
URL al dataset:
URL al código:
URL otros recursos:
Atención: Únicamente se pueden hacer enlaces a contenidos que hayan estado

Revisión previa a Repositorio

✓ Validar ✖ Desestimar

Datos básicos de la publicación

Identificador*: 12
Estado*: Pendent de Revi:
Acceso: Acceso Abierto
Periodo Embargo: 12
Mención de Derechos
Notas:
Operador:
Materia:
Biblioteca:

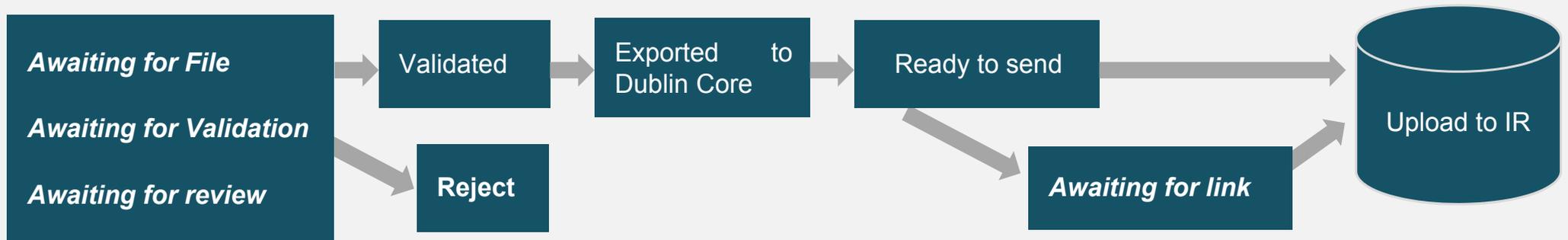
Nombre Política Editorial*: Nom política edit
Versión*: **Versión aceptada (Postprint)**
Colección:
Fecha final de embargo:
Idiomas: Castellano
Contribuidor:
Fecha de revisión:
Cobertura:

Guardar Volver (+) Ver/Editar publicación

The process

Step 2. Item management and states

The states of the items are:



The only items that are eligible to follow the review-and-deposit workflow are those that have been pre-validated by library staff (manual validation) or that have been recorded into the CRIS through an external upload process (automatic validation).

The process

Step 3. Automatic upload

Example of the items to be uploaded into the repository selection:

Búsqueda

Tipo de publicación: Artículos de Revista

Identificador: 0

Título de Revista:

ISSN de la Revista:

Título del libro:

ISBN del libro:

Título del capítulo:

Autores:

Año de Publicación: 0

Open Access:

Nombre Política Editorial:

Estado:

Versión:

Periodo Embargo: 0

Acceso:

Fecha final de embargo:

Mención de Derechos:

Biblioteca:

Operador:

Fecha de revisión:

 Cargar  Búsqueda  Limpiar

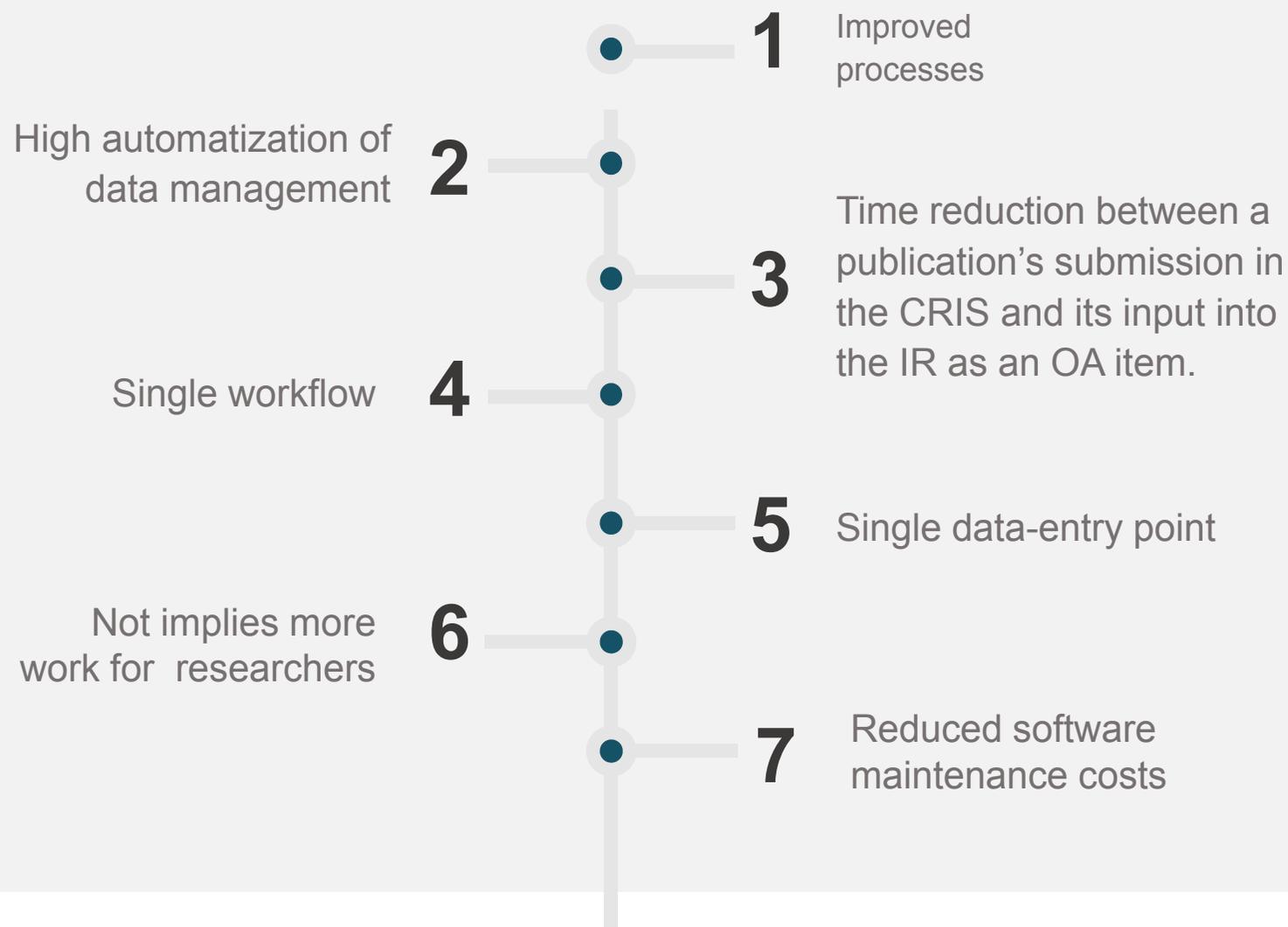
Identificador	Autores	Referencia Bibliográfica	Año de Publicación	Estado	Versión	Biblioteca	Operador	Fecha de Revisión	Colección	Cargar
1	Lopezosa, Carlos; Codina, Lluís; Gonzalo-Penela, Carlos	RELLENAR	01/01/2019	Preparat per Enviar	Versión aceptada (Postprint)	0	Test	11/07/2019	Colección 1	<input checked="" type="checkbox"/>
2	Rovira, Cristófol; Guerrero, Frederic; Codina, Lluís	RELLENAR	01/01/2018	Preparat per Enviar	Versión publicada (PDF)	0	Mar		Colección 2	<input checked="" type="checkbox"/>
3	Test CRIS-IR	RELLENAR	01/01/2019	Preparat per Enviar	Versión aceptada (Postprint)	0			Colección 3	<input type="checkbox"/>
4	Test1	RELLENAR	01/01/2019	Validat	Versión aceptada (Postprint)	BIB1			Colección 1	<input type="checkbox"/>



The advantages

4

Benefits



Benefits

Reducing of training costs

8

Joint project of the
SIGMA Research
universities

10

↓
Sum of synergies

9

Improved internal
organization

✓ **More efficiency!**

... and finally both the CRIS and the Repository were happily ever after!



The logo consists of the word "SIGMA" in a white, uppercase, sans-serif font, enclosed within a white rounded rectangular border. The background of the entire slide is a vibrant blue with abstract, overlapping, wavy shapes in various shades of blue, creating a sense of movement and depth.

SIGMA

helping universities succeed