

The Geometry of Shadows

Legally Populating Your Institutional Repository

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Nottingham ePrints: <http://eprints.nottingham.ac.uk/>

<http://www.sherpa.ac.uk>



Overview

- What is SHERPA?
- SHERPA Open Access projects
- SHERPA/RoMEO & Copyright
- Service Developments
- Wellcome Trust project
- Conclusions



- SHERPA Project
 - Securing a Hybrid Environment for Research Preservation and Access
 - Original project founded 2003, concluded 2006
 - Ongoing consortium from January 2006
 - Projects funded by JISC, CURL, OSI, SPARK Europe, Wellcome
- Core team based at University of Nottingham, UK
 - Partner Officers based at UK Universities
- Work Goals
 - Assists in setting up institutional repositories
 - Investigates related issues and challenges
 - Draws on team experience in scholarly communication
 - Disseminates experience & advice to broad audience

Partner Institutions

- Birkbeck
- Birmingham
- Bristol
- British Library
- Cambridge
- Durham
- Edinburgh
- Glasgow
- Goldsmiths
- Imperial
- Institute of Cancer Research
- Leeds
- LSE
- Kings College
- Newcastle
- Nottingham
- Oxford
- Queen Mary
- Royal Holloway
- Sheffield
- SOAS
- SoP
- UCL
- York
- AHDS*

* Non-University organisation

SHERPA Activities

- All projects relate to scholarly publishing and open access initiatives
- **SHERPA Plus**
 - Expanding the UK repository network
- **OpenDOAR**
 - Quality assured global repository directory
- **DRIVER**
 - Developing cross-European repository network infrastructure

SHERPA Activities

- **PROSPERO**
 - Centralised interim national UK repository
- **SHERPA DP**
 - Digital preservation models
- **EThOS**
 - Developing national E-theses service
- **JULIET**
 - Research funders archiving mandates & guidelines
- **SHERPA/RoMEO**

A Need for Guidance

- Cycle of publication
 - Academics publish & assign all rights to publishers
 - Loss of intellectual property for institution
 - Expensive journals increasingly out of reach
- Institutional repositories need to be legal
 - To avoid difficulties with publishers
 - To avoid institutional liability
- Self-archiving rights
 - Retained rights poorly understood by academics
 - Consequently unwilling to deposit OA materials

SHERPA **RoMEO**

- A solution to the uncertainty
 - Lists author retained Open Access rights
 - Searchable by publisher or journal
 - Only scholarly publishers listed
- Based on University of Loughborough research (2003)
- Standard rules for what is allowed
 - Deposition of pre and post-print articles
 - From an academic research perspective
- Used by a broad OA audience
 - academics, librarians & repository managers

S/RoMEO Colour Scheme

- Highlights publisher's archiving policies

Green (45%) Can archive both pre & post-prints	Blue (24%) Can archive post-print only
Yellow (9%) Can archive pre-print only	White (22%) Archiving not formally supported

Figures accurate as of Sept 2006

- Prohibitive restrictions reduce colour level

Conditions & Restrictions

- Two forms of policy rule amendments
- **Conditions**
 - Can be easily accommodated
 - Do not hinder author archiving
 - E.g. *Publisher copyright & source must be acknowledged*
- **Restrictions**
 - Are more prohibitive
 - Require additional actions from author
 - May block public access to eprints
 - E.g. *4 year embargo on deposition*

Example Record (1)

Publisher:	American Institute of Physics
Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Conditions:	<ul style="list-style-type: none">• Publisher's version/PDF may be used on author's personal website only• Author's own version of final article on e-print servers• Must link to publisher version or journal home page
Copyright:	ftp://ftp.aip.org/aipdocs/forms/copyright.pdf
RoMEO:	This is a RoMEO green publisher
Update:	suggest update for this record

Example Record (2)

Publisher:	American Association of Australian Literary Studies
Pre-print:	x author cannot archive pre-print (ie pre-refereeing)
Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Conditions:	<ul style="list-style-type: none">• Publisher's version/PDF may be used• Published source must be acknowledged• On author's personal web site or non-profit repository
Copyright:	Not available online
RoMEO:	This is a <u>RoMEO blue</u> publisher
Update:	suggest update for this record

Example Record (3)

Publisher:	Institute of Electronics, Information and Communication Engineers
Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Post-print:	✗ author cannot archive post-print (ie final draft post-refereeing)
Conditions:	<ul style="list-style-type: none">• Pre-refereed version only• Published source must be acknowledged once available
Copyright:	view policy
RoMEO:	This is a <u>RoMEO</u> yellow publisher
Update:	suggest update for this record

Maintaining S/RoMEO

- Publishers & Journals
 - Information supplied by the British Library & Zetoc
 - Not all publishers as of yet included on S/RoMEO
- New suggestions or Updates
 - Globally from publishers, academics, librarians or public
 - Generally email contact via online form
 - Number of regular contributors
 - Some publishers unknown by the BL
- All suggestions & updates manually examined
 - Ensures elimination of spam
 - Quality assures provided service information
 - Allows for bespoke response to each

Simplified Procedure

1. Locate publisher's Web site
 - Ensure scholarly publications
2. Find publisher's copyright transfer agreement (CTA)
 - Generally under information for authors
 - May vary between different journals from same publisher
3. Translate CTA into S/RoMEO standardised phrases
 - More readily understandable
 - Easy to compare publishers
4. Publisher contacted
 - Proposed record presented allowing for clarification
 - Encourages Open Access compliance
5. Final record made live
 - Pending further updates or policy changes
 - Updates to Zetoc & British Library

S/RoMEO Challenges

- No information online
 - Publisher reluctance or uncertainty
 - Not all respond...a problem!
- Conflicting information
 - Two different sets of guidelines
 - Poorly phrased guidance
- Unclear boundaries
 - Common for learned societies using publishers
- Changes to publisher permissions
 - Try to keep site up to date
 - Some publisher rights change frequently
- Increasing size of S/RoMEO data set
 - Full time staff member responsible for support

Some Solutions

- Communication with publishers & editors
 - Electronically, via phone or in-person
- Attempt to maintain good relations
 - With individual publishers & key contacts
 - With S/RoMEO users globally
 - With the OA, academic & publishing communities
- Viewpoint that OA is companion process
 - Not in competition with publishers
 - Studies on ArXiv seem positive for this
- Archiving status unclear
 - Not ideal, but indicates activity.

Current & Related Developments

- S/RoMEO now under active development
 - Interface & functionality revised in October
 - Improved public and administrators' tools
 - Additional information for each record
- Listing of journal policies
 - Where they differ from publisher's blanket policies
 - Improvement information & service quality
- Funders' mandates
 - JULIET service & Wellcome Trust project
 - Lobbying publishers for change
- Franchising development
 - Multi-lingual support & enhancement

Wellcome Trust Mandate

- Commissioned by Wellcome Trust
 - In the light of their research Open Access mandate
 - Affects all their funded research (590 M€ in UK)
 - Papers must be OA deposited within 6 months of publication
 - Came into force 1st October 2006
 - Major implications on where research is published
 - Of interest in respect of UK Funding Councils' new OA mandates
- 171 Publishers approached
 - 126 are explicitly Biomedical publishers
 - Online statements or via personal contact
- Investigate publisher CTA
 - As originally relate to Wellcome funded research

Reactions to the Initiative

- Contact publishers to seek their response to mandates
 - Are they adjusting their archiving CTA policies?
 - What are their feelings on the mandate(s)?
- Publisher reaction illuminating
 - Some misinterpretation (deliberate or not) of contact
 - Proactive publishers have produced a response
 - Many remain reluctant to comply
- Results
 - Only 66 (38%) of 171 publishers currently comply
 - 55 (44%) out of 126 Biomedical publishers
 - Non-compliant risk losing market share of publication
 - Information added to S/RoMEO records

Revised S/RoMEO Record

Publisher:	BMJ Publishing Group
Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Conditions:	<ul style="list-style-type: none">• On author or institutional server only• Publisher copyright and source must be acknowledged• Must link to publisher version• Publisher PDF may be used• Articles in some journals can be made Open Access on payment of additional charge
Accepts:	✓ Wellcome Trust (Accepts with embargo); ✓ NIH (Accepts embargo)
Paid access:	BMJ Unlocked - for all journals except BMJ, which is Open Access
Copyright:	view policy
RoMEO:	This is a RoMEO green publisher
Update:	suggest update for this record

Conclusion

- Resistance to depositing in repositories is often through ignorance of author rights
- S/RoMEO helps shine a light and remove the shadows of uncertainty
- Developing S/RoMEO helps to persuade publishers to become more OA friendly
- Recent mandates from research funders will have a significant effect on publishing

References & Further Reading

Glossary of Open Access abbreviations, acronyms & terms,
<http://www.sherpa.ac.uk/glossary.html>

Gruss, P (2003) Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, <http://www.zim.mpg.de/openaccess-berlin/berlindeclaration.html>

Hubbard, B. (2004). The move towards open access of research output: Briefing paper, http://www.sherpa.ac.uk/documents/open_access_briefing3.pdf

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Nottingham ePrints, <http://eprints.nottingham.ac.uk/>

OpenDOAR, <http://www.opendoar.org>

Project RoMEO, <http://www.lboro.ac.uk/departments/ls/disresearch/romeo/>

SHERPA/JULIET, <http://www.sherpa.ac.uk/juliet/>

SHERPA/RoMEO, <http://www.sherpa.ac.uk/romeo.php>

Wellcome Trust Open Access Mandate, http://www.wellcome.ac.uk/doc_wtx025191.html