

# EVENTOS

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EN EL ESPACIO GLOBAL COMPARTIDO

2006



THE GEOMETRY OF SHADOWS: LEGALLY  
POPULATING YOUR INSTITUTIONAL REPOSITORY



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# The Geometry of Shadows

## Legally Populating Your Institutional Repository

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Gareth J Johnson  
SHERPA Repository  
Development Officer SHERPA,  
University of Nottingham, UK [gareth.johnson@nottingham.ac.uk](mailto:gareth.johnson@nottingham.ac.uk)

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

<b>Green</b> (45%) Can archive both pre & post-prints	<b>Blue</b> (24%) Can archive post-print only
<b>Yellow</b> (9%) Can archive pre-print only	<b>White</b> (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)

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

# Example Record (2)

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

# Example Record (3)

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

# 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 1<sup>st</sup> 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

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

# 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](http://www.sherpa.ac.uk/documents/open_access_briefing3.pdf)

Jones, R. et al. (2006). The Institutional Repository, Chandros, Oxford

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](http://www.wellcome.ac.uk/doc_wtx025191.html)