

## A View from the Gallery

Issues, Services & Support  
for Open Access Repositories  
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## In This Talk

- Services to help administrators & authors
- Deciphering IPR and author rights
- Funders mandates
- Search and discovery services
- The future?
- Conclusions

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## OA Services & Projects

- Repository discovery
  - OpenDOAR
  - BASE Search
  - Intute Search
  - IESR
- Assistance & support
  - Repositories Support Programme (RSP)
  - RoMEO & JULIET
- Preservation
  - SHERPA DP
  - VERSIONS
  - LOCKSS

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## IPR & Copyright

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## Barriers to Adoption

- Copyright restrictions
  - Limited or no OA author rights retained
- Publisher embargoes
  - OA deposition restricted in the short term
- Cultural barriers to adoption
  - Disciplinary differences
- Author apathy more common than opposition
  - 79% would deposit willingly if required to do so
  - Deposition policies can provide motivation

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## A Need for Guidance

- Cycle of publication
  - Academics publish & assign all rights to publishers
  - Loss of intellectual property for institution
- Institutional repositories need to be legal
  - To avoid difficulties with publishers
  - To avoid institutional liability
  - To protect authors from breaching agreements
- Mysteries of self-archiving
  - Retained rights poorly understood by academics
  - Consequently unwilling to deposit OA materials

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## SHERPA RoMEO

- A solution to the uncertainty
  - Lists author retained OA rights from scholarly publishers
  - Academic research perspective
  - Searchable by publisher or journal
- Based on University of Loughborough research (2003)
- Standard rules of interpretation
  - Deposition of pre and post-print articles
  - ~90% of journals or ~75% of publishers allow something
  - Used by a broad OA audience
- Listing of journal policies
  - Currently lists publisher blanket policies
  - Developing listing by individual title for individual variances

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## 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, Not publishers version etc*
- **Restrictions**
  - Are more prohibitive
  - Require additional actions from author
  - May block public access to eprints
    - E.g. *4 year embargo on deposition*

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## S/RoMEO Colour Scheme

- Highlights publisher's archiving policies

n=220, Figures accurate as of Jan 2007

<b>Green</b> (40%) Can archive both pre & post-prints	<b>Blue</b> (26%) Can archive post-print only
<b>Yellow</b> (10%) Can archive pre-print only	<b>White</b> (24%) Archiving not formally supported

- Prohibitive restrictions reduce colour level

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## S/RoMEO Record

The screenshot displays a user interface for managing S/RoMEO records. It includes several sections with checkboxes and labels:

- SEARCH** section with a search icon and a text input field.
- EDIT** section with a checkmark icon and a label.
- Options** section with a list of items:
  - Add to the list of journals
  - Add to the list of publishers
  - Add to the list of journals
  - Add to the list of publishers
- SEARCH** section with a checkmark icon and a label.
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## 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
  - From publishers, academics, librarians or public
  - Some publishers unknown by the BL
- All suggestions & updates manually examined
  - Ensures elimination of spam
  - Quality assures provided service information
  - Currently pending responses from ~200 publishers

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## Requesting Exceptions

- Where no explicit permission given to mount a full-text version
  - Often worthwhile writing directly to the publisher
  - Can be true even where permission has been explicitly denied
  - Important to get permission in writing
- Request template
  - Can be used to seek permission to mount material on a repository
  - Some publishers insist on the author directly requesting permission
  - Rather than an unconnected party wishing to re-use published material
- Whom to contact
  - Write to the editor or officer in charge of authors' rights if possible

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## OpenDOAR Search

- OpenDOAR & SHERPA search tools
  - Powered by Google Custom Search Engine
  - Unlocks research in repositories
- Repository policy tools
  - Use standardised format to define policies
  - Help administrators formulate policies
  - Aids impact & visibility of deposited research
  - Formatted output can be uploaded into repositories

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## Other Discovery Tools

- Bielefeld Academic Search Engine (BASE)
  - Search engine for scientifically relevant web resources
  - Created and developed by Bielefeld University, Germany
  - Machine based service (autoharvests)
- Intute Search project
  - Developing more advanced search algorithms
  - Machine based service
  - Funded by JISC
- DOAJ
  - Lists approx 2,500 open access journals
  - Only includes scholarly titles
  - Developed & maintained by University of Lund, Sweden

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## Funding Mandates & JULIET

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## Funders Mandates

- Drive from the research funding bodies for Open Access
  - Mandate, or strongly recommend, Open Access deposition in some form of OA repository
  - National Institute of Health and Wellcome Trust two of the earliest to take a positive position
  - Allow for short embargo periods (6 months-year)
- RCUK statements
  - June 2005 supporting Open Access
  - June 2006 further support and first mandates
  - Deposition must occur within a set period for many researchers
  - Covers all disciplines, not just biomedicine
- Major driver for UK institutional repositories development
  - About half of the research produced at UK universities will become open access, through institutional repositories

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# JULIET

- Ideal funder support for Open Access would mandate
  - Open Access dissemination of final research outputs
  - As a condition of grant
  - Without any embargo period
- Three key parts to an ideal Open Access policy
  - *Whether to Archive* - Deposit required
  - *What to Archive* - Author's final version or published PDF/version required
  - *When to Archive* - When accepted for publication
- JULIET assigns an Open Access tick when each condition is met

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## JULIET Funders Summary

Funder	Open Access	Embargo
ARCC	Yes	Yes
ARC	Yes	Yes
ARC (Australia)	Yes	Yes
ARC (New Zealand)	Yes	Yes
ARC (South Africa)	Yes	Yes
ARC (USA)	Yes	Yes
ARC (UK)	Yes	Yes
ARC (Canada)	Yes	Yes
ARC (Japan)	Yes	Yes
ARC (Brazil)	Yes	Yes
ARC (India)	Yes	Yes
ARC (China)	Yes	Yes
ARC (Russia)	Yes	Yes
ARC (Australia)	Yes	Yes
ARC (New Zealand)	Yes	Yes
ARC (South Africa)	Yes	Yes
ARC (USA)	Yes	Yes
ARC (UK)	Yes	Yes
ARC (Canada)	Yes	Yes
ARC (Japan)	Yes	Yes
ARC (Brazil)	Yes	Yes
ARC (India)	Yes	Yes
ARC (China)	Yes	Yes
ARC (Russia)	Yes	Yes

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## JULIET Detailed Records

- Where to Archive
  - Condition is less essential for Open Access purposes
  - As long as the server used is stable
  - And material is made available for the long-term
- Conditions
  - These are noted where they apply to specific aspects of funder's requirements
- Policy information
  - Links are given to policy information or advice that is available on-line
- All information is updated by community contributions
  - JULIET in many ways complements SHERPA/RoMEO

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## JULIET Sample Record



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## Reactions to Wellcome Trust Mandate

- Work commissioned by Wellcome Trust
  - In the light of their research Open Access mandate
  - Came into force 1<sup>st</sup> October 2006
  - Major implications on where research is published
- 171 Publishers approached late 2006
  - 126 explicitly Biomedical publishers
- Publishers asked their response to mandate(s)
  - What are their feelings on the mandate(s)?
  - Are they adjusting their archiving CTA policies?

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## Some Wellcome Results

- 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 complied
    - 55 (44%) out of 126 Biomedical publishers
  - Non-compliant risk losing market share of publication
  - Information added to S/RoMEO records

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## In 10 Years...?

- Developments in the web and ICT alone
  - Will produce substantial change
  - Irrespective of repositories, author-side charges, open access...
- Other developments will also affect
  - Journals
    - Subscriptions, commercial pressures, staffing . . .
  - Academics & IT
    - What will people expect from IT
  - Research funding and processes
    - How is research changing?

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## In 10 Years...?

- Who knows? But *whatever* happens -
  - If definitive versions are of value to research work (and they are)
  - If journals are of value to research work (and they are)
  - If publishers are of value to research work (and they are)
  - If learned societies are of value to research work (and they are)
  - If repositories of work are of value to research work (and they are)
- Then they will be used

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## What else can I do?

- As an author
  - Deposit materials in repositories
  - Retain multiple-versions of articles to aid deposition
  - Consider using & publishing in Open Access Journals
  - Consider the implications of funders mandates
  - Sign the EC petition for Open Access
- As an institution
  - Explore the supporting initiatives
  - Develop an embedded and supported institutional repository
  - Sign the EC petition for Open Access
- As an individual
  - Engage with the Open Access debate with colleagues
  - Sign the EC petition for OA

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## Conclusion

- SHERPA's work is supporting Open Access and repositories globally
- IRs work alongside traditional publishing
- Repositories are spreading because they offer advantages to academics, institutions & research funders
- Deposition of research in a repository enhances professional visibility
- Services to support authors and repository administrators exist
- OA isn't an impossibility – but it's not a certainty
- The future isn't certain

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## Questions & Comments

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