THE GEOMETRY OF SHADOWS: LEGALLY POPULATING YOUR INSTITUTIONAL REPOSITORY
The Geometry of Shadows

Legally Populating Your Institutional Repository

Madrid, 19th October 2006

Gareth J Johnson
SHERPA Repository
Development Officer SHERPA,
University of Nottingham, UK 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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
S/RoMEO Colour Scheme

- Highlights publisher’s archiving policies

<table>
<thead>
<tr>
<th>Colour</th>
<th>Percentage</th>
<th>Archiving Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green</td>
<td>(45%)</td>
<td>Can archive both pre &amp; post-prints</td>
</tr>
<tr>
<td>Blue</td>
<td>(24%)</td>
<td>Can archive post-print only</td>
</tr>
<tr>
<td>Yellow</td>
<td>(9%)</td>
<td>Can archive pre-print only</td>
</tr>
<tr>
<td>White</td>
<td>(22%)</td>
<td>Archiving not formally supported</td>
</tr>
</tbody>
</table>

- Prohibitive restrictions reduce colour level

Figures accurate as of Sept 2006

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
Example Record (1)

<table>
<thead>
<tr>
<th>Publisher:</th>
<th>American Institute of Physics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-print:</td>
<td>✓ author can archive pre-print (ie pre-refereeing)</td>
</tr>
<tr>
<td>Post-print:</td>
<td>✓ author can archive post-print (ie final draft post-refereeing)</td>
</tr>
</tbody>
</table>
| Conditions: | - 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 |

http://www.sherpa.ac.uk
Example Record (2)

<table>
<thead>
<tr>
<th><strong>Publisher:</strong></th>
<th>American Association of Australian Literary Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Pre-print:</strong></td>
<td>✗ author cannot archive pre-print (ie pre-refereeing)</td>
</tr>
<tr>
<td><strong>Post-print:</strong></td>
<td>✓ author can archive post-print (ie final draft post-refereeing)</td>
</tr>
</tbody>
</table>
| **Conditions:** | - 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 RoMEO blue publisher |
| **Update:** | suggest update for this record |

[http://www.sherpa.ac.uk](http://www.sherpa.ac.uk)
# Example Record (3)

<table>
<thead>
<tr>
<th>Publisher:</th>
<th>Institute of Electronics, Information and Communication Engineers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-print:</td>
<td>✓ author can archive pre-print (ie pre-refereeing)</td>
</tr>
<tr>
<td>Post-print:</td>
<td>✗ author cannot archive post-print (ie final draft post-refereeing)</td>
</tr>
</tbody>
</table>
| Conditions:| • Pre-refereed version only  
               • Published source must be acknowledged once available |
| Copyright: | [view policy](http://www.sherpa.ac.uk)                     |
| RoMEO:     | This is a RoMEO yellow publisher                            |
| Update:    | [suggest update for this record](http://www.sherpa.ac.uk)  |
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
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

http://www.sherpa.ac.uk
### 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)

<table>
<thead>
<tr>
<th>Conditions</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>On author or institutional server only</td>
<td></td>
</tr>
<tr>
<td>Publisher copyright and source must be acknowledged</td>
<td></td>
</tr>
<tr>
<td>Must link to publisher version</td>
<td></td>
</tr>
<tr>
<td>Publisher PDF may be used</td>
<td></td>
</tr>
<tr>
<td>Articles in some journals can be made Open Access on payment of additional charge</td>
<td></td>
</tr>
</tbody>
</table>

**Accepts:** ✓ Welcome Trust (Accepts with embargo), ✓ NIH (Accepts embargo)

**Paid access:** BMJ Unlocked - for all journals except BMJ, which is Open Access

**Copyright:** [www policy](http://www.sherpa.ac.uk)

**RoMEO:** This is a RoMEO green publisher

**Update:** [suggest update for this record](http://www.sherpa.ac.uk)
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

http://www.sherpa.ac.uk
References & Further Reading


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.sherpa.ac.uk