

## SHERPA Roadshow

- 10 -

University of St Andrews,  
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## This Afternoon

- An overview of Open Access
- Advocacy successes and advice
- Experiences from the SHERPA Partnership
- The local picture
- RoMEO, JULIET & Funders' mandates
- Services & support for repositories
- Input to UKCoRR over coffee break

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## Voices of Authority

### Advocating Institutional Repositories for Successful Cultural Change

University of St Andrews, April 2007

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## In this Session

- Who are SHERPA?
- Why are repositories & Open Access important?
- How can you achieve the necessary cultural change?
- What approaches to advocacy are most successful?

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## Who are SHERPA?

- *Securing a Hybrid Environment for Research Preservation and Access* (SHERPA Project)
- Original project 2003-Jan 2006
  - Now ongoing project based team
  - Funded by JISC, CURL, OSI, SPARK Europe, Wellcome
- Work activities include
  - Assisting in set up & develop of institutional repositories
  - Investigating related issues, disseminating experience & advice
  - All projects relate to scholarly publishing & Open Access
- Core team based at University of Nottingham, UK
  - Partner Officers based at UK Universities

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## SHERPA Project Activity

- Copyright, authors' rights & IPR
  - JULIET, SHERPA/ROMEO
- Discovery & search services
  - OpenDOAR, Intute RS
- Preservation & long term access
  - SHERPA DP, PROSPERO & The Depot
- Repository development
  - DRIVER, EThOS, SHERPA Plus & Repositories Support Project

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## Why are Repositories Important?



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## Research Publishing Barriers

- Research is publicly funded
  - Supported by institutional infrastructure
  - Results only available outside of public domain
- Authors sign away rights with publishers in order to publish
  - Given away freely to publishers
  - Publishers make increasingly large profit selling material back
- No tangible reward for authors
  - Rights to reuse “own” material for colleagues, teaching etc lost

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## Research Publishing Barriers

- Readership limited by economics
  - Journal prices rise as budgets fall
  - Potential global partnerships aborted
  - Inaccessible research
- Emerging Publisher monopolies
  - Eliminating competition
  - Squeezing smaller publishers
  - Resultant cancellation of smaller publisher titles to maintain major bundles
- Knock-on effects
  - Restriction on advancement of human knowledge
  - Library/Academic relationships soured

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## What is Open Access

- *A research need*
  - *As an author I want my research papers to be read and cited. For the sake of my academic career I need my research to have professional visibility & the maximum possible impact. (Jones 2006)*
- Budapest Open Access Initiative (2002)
  - *...we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print search or link to the full text of these articles, crawl them for indexing, pass as data to software, or use them for any other lawful purpose*
- In essence
  - Open access encourages a wider use of information assets and increases citations.
  - An Open Access article can be freely accessed by anyone in the world using an internet connection.
  - Potential readership is far, far greater than that for articles where the full-text is restricted to subscribers

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## The World of Open Access

- Global movement
  - Projects & initiatives since the late 1990s
- UK Scene
  - 94 UK OA Repositories listed on OpenDOAR
  - Not an activity in isolation
  - Differing funding, staffing & policy models
- SHERPA Partners Experiences
  - Varied levels of support, discipline engagement and success
- Open Access is not just repositories
  - Open Access journals exist with very different funding models
- Research Funding Council statements & policy
  - Supporting or mandating OA deposition

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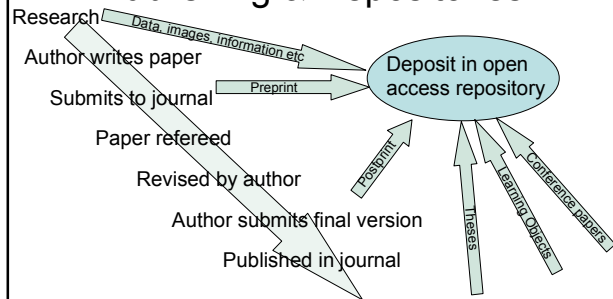
## Open Access Repositories

- Online sites
  - Authors deposit scholarly publications
  - Sometimes called digital repositories
- Open Access repositories mean
  - Contents are freely available online to all
  - No subscription or registration to read
- Open Access repositories are not
  - A substitute for peer-reviewed publication
- Potential for value added services
  - Personalised publications lists, hit rates & citation analysis
- Sustainability built in
  - Repositories work towards continued format accessibility

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## Publishing & Repositories



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## Why Institutional Repositories?

- They have greater longevity
  - Institutions around for longer than individuals
  - JISC model favours them
- Subject repositories more at risk in the long term
  - From projects ending or individuals losing ability to support
  - Some subject repositories being adopted by institutions
- IRs allow easier management of intellectual assets
  - Allows co-ordinated approach to capture, storage and retrieval
  - Enables efficient use of research
  - Encourages beneficial collaboration
- Provide readily reusable material
  - For VLE courses, presentations or auditing purposes
  - Of interest as a RAE or institutional review type resource

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## Who Benefits from Open Access?



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## OA Research Benefits

- OARs enable a wider global readership
- Which means:
  - ↑ Improved citation rankings
  - ↑ Communication
  - ↑ Improved long term preservation
  - ↓ Decreased potential plagiarism
- Leading to:
  - ↑ Professional standings
  - ↑ Departmental & Institutional respect/promotion
  - ↑ Long term accessibility
  - ↑ Ease of access for colleagues and students

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## Broader Benefits

- For the institution
  - Facilitates use & re-use of information assets
  - Raises profile and prestige of institution
  - Potential long-term cost savings
- For the research community
  - Frees up the communication process
  - Avoids unnecessary duplication
  - Assists in truly global collaboration
- For society at large
  - Publicly-funded research publicly available
  - Aids in public understanding of research

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## Successfully Advocating an Institutional Repository



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## Why is Advocacy Key?

- To embed & enable your repository successfully
  - Cultural change must be achieved
  - Funding, staffing, ethos and policies must be agreed
- One of the most effective tools is advocacy
  - Getting the right message to the right people
  - Tone and content varied by target audience
- SHERPA Partner Experience
  - Based on discussions with SHERPA Partner Officers
  - Focussed on advocacy successes & challenges
  - Each institution has different approaches

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## Advocating Repositories

- An informed awareness must be built
  - A core message & ethos is essential
  - Neglecting advocacy will result in repository decline
- Be prepared for knock-backs
  - Which can be somewhat forceful
- The right level of engagement is crucial
  - Not selling technical minutiae to ProVCs

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## Approaches & Strategy

- Intellectual & emotional engagement
  - Reasons why OA & self-archiving is important, useful, vital *etc.*
  - Addressing the bottom *What's in it for me?* Line
- Advocacy strategy blends
  - Top down (mandates, steering groups)
  - Bottom up ( hearts & minds, graduates)
  - Champions (laureates, media darlings)
  - Serendipitous (scatter-gun, ad hoc)

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## 7 (& a bit) Advocacy Pillars

1. Set Achievable Targets
2. Discipline & Community
3. Educate & Clarify
4. Seize the Moment
5. Allies & Comparators
6. Enable Effective Deposition
7. Achieve Quick Wins
- 7.5...Challenges

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## Set Achievable Targets

- Steering group comprised of key people
  - Confers institutional *clout* backing and
  - Can drive institutional developments
  - Opens otherwise locked lines of communication
  - Must comprise realists as well as activists
- Focus on specific targets
  - Subject areas or particular item types
  - Using existing contacts to find a good initial "in"
  - Involve "celebrity" academics
  - Promote successes or learn from setbacks

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## Discipline & Community



- Disciplinarily differences evident but not absolute
  - One size does not fit all
  - STM aren't always the most keen to engage
- SHERPA Max:Min approach
  - Effort better spent going for the majority of authors/journals/publishers that do or may support deposition
  - Rather than minority of authors/journals/publishers that don't
- Intra-institutional publication cultures will differ
  - Arts & Humanities staff sometimes vocal supporters
  - Departments may already have individual repositories
- Awareness of subject community differences
  - Some (e.g. Physics & CompSci) gravitate to subject repositories
  - Long term stability of IR can be seen as a major advantage
  - IRs can act as ingest mechanism for subject repositories

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## Educate & Clarify



- Stakeholders will have many concerns and questions
  - SHERPA site offers guidance and suggested resolutions
- Common questions have included:
  - What about quality assurance & peer review?
  - If its freely available, what about plagiarism?
  - What about commercially or ethically sensitivity material?
  - What happens if I don't bother doing it?
- What about a possible threat to journals?
  - Evidence to date shows co-existence possible
  - 14 years of Physics publications unaffected
  - Brussel's declaration (Feb 13<sup>th</sup>) from publishers

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## Seize the Moment



- Prepare and capitalise on serendipitous opportunities
  - RAE or review focuses attention on research visibility
  - Useful for discovering intermediaries & champions
  - Identifying hitherto unknown effective change agents
  - Invites tend to indicate a receptive & willing audience
- Need marketing plan and core-message ready ASAP
  - *E.g. Publication alone is not enough*
  - Reward participation at milestones
- Use in-house publications
  - Internal and external publications can be useful
  - Deadlines may be set months ahead
  - Publish your own one-off

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## Use Allies & Comparators



- Take advantage of competitiveness
  - Jealousy can be a powerful motivating force
  - Between authors, departments or institutions
- Comparators proved useful for SHERPA Partnership
  - Levels of funding, support and staffing elsewhere of particular interest
- Locating comparators
  - OpenDOAR
  - UKCoRR, RSP or SHERPA can help
- Readers' frustration
  - Unable to locate full-text via Google or e-journals
  - Papers by other academics in repository
  - Customer satisfaction can be a significant driver

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## Enable Effective Deposition



- Deposition as part of the publication process
  - Community awareness of OA and repository advantages is essential
  - Must be able to back up advocacy promises & targets
  - Encouraging differing version retention of articles can smooth effective deposition
- Labour intensive methods
  - Searching for articles published
  - Then seeking permission to deposit
  - Effective but major staff resourcing issue
- Departmental or institutional mandates
  - One way to fill a repository quickly
  - BUT risk of raising ire and entrenchment
  - Ensure that staff can cope if implemented

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## Achieve Quick Wins



- Control the situation
  - All staff involved need to stay on message
  - Awareness of planned future developments
- Metadata only repositories
  - Can be a stepping stone to successful deposition
  - BUT confer less advantage to the user research community
  - Clear differentiation of full-text items from metadata only essential for end-users
- Enabling administrative staff
  - Overcomes academic time concerns
  - Can act as effective advocates themselves
  - Risks disengaging academics from the wider debate

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## Facing the Challenges



- Even slight barriers are enough
  - Technological, awareness, temporal...
- Fixed term posts & funding
  - Worries for longevity of some repositories
  - High expectations for short timescale
- Unrealistic targets
  - Quantitative focus by observers a poor success metric
  - Is it better to establish quality over quantity?
- Real cultural change is a crucial achievable
  - Need real engagement from and with academics
  - But takes an uncertain amount of time and effort
- Advocacy fatigue
- Operating in isolation

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## Conclusion

- Advocacy has been the key to successful cultural change
- Appreciation of the unique research culture of the institution is vital
- Experience across the partnership has developed some useful guidance
- Developing network of practitioners helped avoid error duplication

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