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

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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

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S/RoMEO Colour Scheme

- Highlights publisher’s archiving policies

<table>
<thead>
<tr>
<th>Colour</th>
<th>Percentage</th>
<th>Archiving Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green</td>
<td>(41%)</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>(25%)</td>
<td>Archiving not formally supported</td>
</tr>
</tbody>
</table>

- Prohibitive restrictions reduce colour level

Figures accurate as of Sept 2006

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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*

• **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)

<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 |

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Example Record (2)

<table>
<thead>
<tr>
<th>Publisher:</th>
<th><strong>American Association of Australian Literary Studies</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-print:</td>
<td><strong>✗</strong> author cannot archive pre-print (ie pre-refereeing)</td>
</tr>
<tr>
<td>Post-print:</td>
<td><strong>✓</strong> 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 <strong>can</strong> archive pre-print (i.e. pre-refereeing)</td>
</tr>
<tr>
<td>Post-print:</td>
<td>✗ author <strong>cannot</strong> archive post-print (i.e. final draft post-refereeing)</td>
</tr>
<tr>
<td>Conditions:</td>
<td>• Pre-refereed version only</td>
</tr>
<tr>
<td></td>
<td>• Published source must be acknowledged once available</td>
</tr>
<tr>
<td>Copyright:</td>
<td><a href="http://www.sherpa.ac.uk">view policy</a></td>
</tr>
<tr>
<td>RoMEO:</td>
<td>This is a RoMEO <strong>yellow</strong> publisher</td>
</tr>
<tr>
<td>Update:</td>
<td><a href="http://www.sherpa.ac.uk">suggest update for this record</a></td>
</tr>
</tbody>
</table>

[http://www.sherpa.ac.uk](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

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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

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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.

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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

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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\textsuperscript{st} 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

<table>
<thead>
<tr>
<th>Publisher:</th>
<th>BMJ Publishing Group</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: |  ● 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 casts light on the uncertain shadows of author rights
  – Or at least defines their shape!
• 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


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