SHERPA Roadshow

Exeter, January 2007

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This Morning

- An overview of Open Access
- Experiences from the SHERPA Partnership
- Technical considerations & insights
- Services & support for repositories
- Time for questions at end of each talk

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Voices of Authority

Advocating Institutional Repositories for Successful Cultural Change

Exeter, January 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?

Who are SHERPA?

- *Securing a Hybrid Environment for Research Preservation and Access (*SHERPA Project)
- Original project 2003-Jan 2006
    - 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

SHERPA Project Activity

- DRIVER
- EThOS
- SHERPA DP
- JULIET
- OpenDOAR
- PROSPERO & The Depot
- SHERPA Plus & The Repositories Support Project
- SHERPA/RoMEO

Why are Repositories Important?

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 huge pro££it$ selling material back
- No tangible reward for authors
  - Rights to reuse "own" material for colleagues, teaching etc lost

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 out 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

- Budapest Open Access Initiative (2002)
  - *By open access to this literature 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, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself.*
  - **http://www.soros.org/openaccess/**

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OA Opens the Barriers

- *A research need*
  - As an author I want my research papers to be read and cited. In short, for the sake of my academic career I need my research to have professional visibility & the maximum possible impact.
  - R. Jones 2006
- *A possible solution*
  - *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.*
  - B. Hubbard 2005

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The World of Open Access

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

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OA Stakeholders

- Academics as authors (creators)
- Academics as researchers (end users)
- Repository administrators
- Library & support staff
- General Public
- Funding agencies
- University administrators
- Publishers

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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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Terminology

- Mediated deposit/archiving
  - All by repository staff
- Self deposit/archiving
  - By the author or their surrogate
- Mandated deposit
  - Required by funder or institutional policy
  - Achieved by either self or mediated
- Ingest
  - The action or rate of materials being added into a repository
- Copyright transfer agreement (CTA) form
  - Legal document whereby an author transfers copyright of a particular work to a publisher

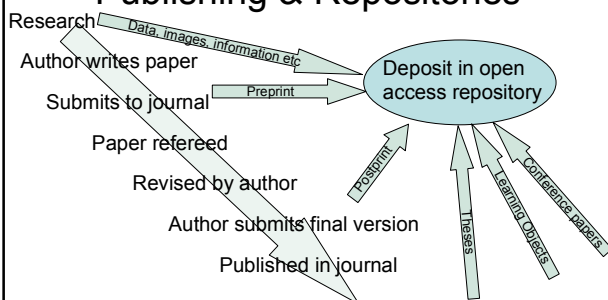## Publishing & Repositories

Research

Data, images, information etc

Author writes paper

Submits to journal — Preprint

Deposit in open access repository

Paper refereed

Revised by author — Postprint

Author submits final version — Theses — Learning Objects — Conference papers

Published in journal

Subject & Institutional Repositories

- Subject repositories
  - Ingest materials in specific areas
    - E.g. *JORUM, arXiv, Open Marine Archive etc.*
  - Often associated with projects or individuals
- Institutional repositories
  - Ingest materials from members of particular institution(s)
    - E.g. Nottingham EPrints, Institutional Archive Universiteit Gent, IUScholarWorks
  - Alternatively take work performed on behalf of the institution
  - Some retrospectively adding materials

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-ordained 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
  - Citations are the life blood of an academic career
    - *Lawrence (2001), Antelman (2004) & Harnad & Brodie (2004)*
- 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
- Some research funders now mandate OA deposition

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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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Wider Repository Use

- Access to material
- Citation analysis
- Overlay journals
- Review projects
- Evidence based work
- Data-mining
- Cross-institutional research group virtual research environments

- . . . *Services built on top*

- RAE-like submissions, activities and management
- Archival storage
- Showcase of work
- Facilitate industrial links
- Career-long personalised work spaces

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Successfully advocating an institutional repository

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Before You Begin

- 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 an advocacy campaign
  - Getting the right message to the right people
  - Tone and content varied by target audience
  - A core message & ethos is essential
- An informed awareness must be built
  - Without it little or no material will be added
  - Neglecting advocacy will result in repository decline

Advocating Repositories

- Some guidance from Partner Experience
- No hard and fast rules
  - Each institution has different approaches
  - What has worked well for some *might* work for another
- The right level of engagement is crucial
  - Selling the technical minutiae to senior management is doomed to failure
  - Once buy-in is achieved successes can be built on

Discipline & Community

- Disciplinarily differences evident but not absolute
  - One size does not fit all
  - STM aren't always the most keen to engage
- 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

Seizing the Moment

- Prepare and capitalise on serendipitous opportunities
  - RAE or review can focus attention on research visibility
  - Discovering a champion or change agent in a senior position
  - Can be useful to get Intermediaries & administrators on-side
  - Have your marketing plan and core-message ready ASAP
- Telling people what they *must* do is a risky business
  - Better to negotiate, persuade, debate or even cajole
  - Alienation of some academics is always likely
  - Can be minimised by an unified core message & strategy

Allies & Comparators

- Comparators are your friend
  - Very useful within the SHERPA Partnership
  - Jealousy can be a powerful motivating force
  - Sites like OpenDOAR can help you find comparators
- Readers frustration
  - Unable to locate full-text via Google or e-journals
  - Locate within the local repository
  - Persuasive proof of concept once repository is working
  - Choose examples with care

Addressing Concerns

- What about quality assurance & peer review?
  - Peer review status clearly marked on materials
- If its freely available, what about plagiarism?
  - Studies indicate ⇩ instances for OA material
- What about commercially or ethically sensitivity material?
  - If not suitable for publication – probably unsuitable for OA
- Subject base more natural?
  - Can be for some disciplines
  - Institutional infrastructure, view by subject
- Threat to journals?
  - Evidence shows co-existence possible –
  - But in the future…?

Partners Experience: Tips

- Steering group comprised of key people
  - Confers institutional *clout* backing and driving institutional developments
  - Opens lines of communication otherwise shut
  - Must comprise activities and realists
- Targeting specific subjects
  - Using contacts to find a good "in"
  - Capitalising on previous successes
- Targeting specific items types
  - Papers or theses are a popular choice

Partners Experience: Tips

- Deposition is part of the publication process
  - Publication alone does not ensure discovery or readership
  - Awareness of OA and repository advantages is essential
  - Encouraging differing version retention of articles can smooth effective deposition
- Departmental or institutional mandates
  - One way to fill a repository quickly
  - A risk of raising ire and entrenchment
  - Need to ensure that staff can cope if implemented
  - Can target Theses as a proof-of-concept

Partners Experience: Tips

- Metadata only repositories
  - Can be a stepping stone to successful deposition
  - Confer less advantage to the user research community
  - Important to be able to differences full-text from metadata only records
- Enabling administrative staff
  - Overcomes academic time concerns
  - Can act as effective advocates themselves

Partners Experience: Challenges

- Fixed term posts
  - Worries for longevity of the repository
  - High expectations for short timescale
- Targets have to be realistic
  - Better to establish quality over quantity
  - Proof of concept for one area
- Cultural change is crucial achievable
  - Deposition of materials
  - Reuse and discovery of contents

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Conclusion

- SHERPA supports Open Access developments in the UK & Europe
- OA in essence is unrestricted
- OA is not an alternative to traditional publication
- Institutional repositories are more stable than subject based sites
- Advocacy is the key to success

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Question Time

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