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OpenDOAR - Directory of Open Access Repositories

Ledande universitet över hela världen har skapat ett ständigt växande nätverk av öppna arkiv. Sådana arkiv har också satts upp av forskningsfinanisärer som National Institutes of Health (NIH) i USA och Wellcome Trust i UK. I dag finns det följaktligen ett stort antal arkiv av olika storlek, sammansättning och omfattning och nya tillkommer hela tiden. Det har blivit något av en utmaning att hålla reda på alla dessa arkiv och deras olika karakteristika.

OpenDOAR presenterar nu första versionen av sin förteckning över kvalitetskontrollerade öppna arkiv http://www.opendoar.org/ För att garantera kvaliteten har samtliga arkiv i listan granskats av DOAR-medarbetare. Granskningen ger samtidigt medarbetarna en bild av den internationella utvecklingen av öppna arkiv och möjlighet att notera nya inslag och inriktningar. Informationen analyseras kontinuerligt, så att varje ny version av OpenDOAR kan uppdateras med relevanta nyheter. Nuvarande lista förväntas hela tiden att växa med nya arkiv.

Målet är att skapa en bro mellan arkiven och olika tjänster som skördar arkivmaterial. En typisk sådan tjänst kan vara en sökmotor, som indexerar materialet. Sökmotorerna hittar ofta alldeles för mycket skräp. Informationen från OpenDOAR gör det möjligt att erbjuda mer fokuserade sökningar; t.ex att söka fram just de arkiv som är relevanta för sökaren.

Se pressreleasen
http://www.opendoar.org/documents/
OpenDOAR_Press_Release_Jan06.pdf

OpenDOAR är ett samarbetsprojekt mellan University of Nottingham, UK och Lunds universitet. OpenDOAR bygger på OA arbete som gjorts av andra forskare och projekt för att beskriva arkiv., bl a the Public Knowledge Project och universitetet i Illinois-Urbana-Champaign samt universitetet i Southampton.

OpenDOAR finanseras av Open Society Institute (OSI). JISC (Joint Information Systems Committee), UK stöder liksom de UK-baserade Consortium of Research Libraries (CURL) samt SPARC Europe – en europeisk allians.

Wellcome Trust och tre stora förlag kommer överens om Open Access
http://www.wellcome.ac.uk/doc%5Fwtx027916.html

De tre stora förlagen Blackwell, Oxford University Press och Springer har meddelat att de ändrat sina licensvillkor så att den forskning som publiceras i deras tidskrifter omedelbart kan bli fritt tillgänglig.

Diskussioner har förts mellan Wellcome Trust och ett antal förlag sedan WTs beslutat att resultaten av den forskning som WT finansierar görs fritt tillgängliga i PubMed Central samtidigt som de publiceras via förlagens respektive OA-tjänster: Blackwell Online Open http://www.blackwellpublishing.com/static/onlineopen.asp, OUP Oxford Open http://www.oxfordjournals.org/oxfordopen/ och Springer Open Choice http://www.springer.com/sgw/cda/frontpage/0,11855,1-40359-0-0-0,00.html. Kostnaderna bärs av forskningsfinansiärerna. WT har för sin del beräknat kostnaden till ca 1% av den summa de årligen spenderar.

Dr Mark Walport, direktör för Wellcome Trust, säger:

"We are delighted to have achieved this agreement with Blackwell, OUP and Springer. It is good news for them, for us, and most importantly, for the scientific community at large."

"It is essential that the market is innovative and leads the way in showing how business models can evolve and adapt to maximise the impact of published research."

Royal Society debatten, UK

42 medlemmar i Royal Society (inkl. fem nobelpristagare) har undertecknat ett öppet brev **http://www.frsopenletter.org/** (2005-12-07) till Lord Rees, president för Royal Society, Brevskrivarna är besvikna över Royal Societys inställning till de engelska forskningsrådens (RCUK) förslag till OA policy. Med brevet vill man stödja den fria tillgången till resultaten av rådsstödd forskning för att maximera användbarheten både för forskare och praktiker samt den brittiska allmänhet, vars skatter i stor utsträckning bekostar denna forskning . För Royal Societys ställningstaganden se **http://www.royalsoc.ac.uk/document. asp?tip=0&id=3883** och **http://www.royalsoc.ac.uk/page. asp?id=3882**

SPARC ingår partnerskap med Science Commons

SPARC (Scholarly Publishing and Academic Resources Coalition) samarbetar nu med Science Commons **http://science. creativecommons.org**. för att göra SPARCs Author Addendum **http://www.library.upenn.edu/scholcomm/ AuthorsAddendum4.pdf** maskinläsbart och sökbart på webben. **http://www.arl.org/sparc/announce/011706.html**

Detta ökar avsevärt användbarheten av Author Addendum, som är till för att brukas av författarna i förhandlingar med förlag om artikelpublicering. Författaren skall kunna behålla viktiga rättigheter:

1. "the rights to reproduce, distribute, publicly perform, and publicly display the Article in any medium for non-commercial purposes
2. the right to prepare derivative works from the Article
3. the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article."

Indiska regeringen kräver parallellpublicering

I samband med specialsessionen om Open Access vid 93e Indian Science Congress i Hyderabad, 6 januari 2006 antogs följande rekommendationer för "Optimal National Open AccessPolicy":

"The Government of India [including DST, DSIR, CSIR, DBT, DoD, DAE, DRDO, ICAR, ICMR, UGC, IITs, IISc, and NITs] expects authors of research papers resulting from publicly-funded research to maximise the opportunities to make their results available for free. To this end the Government:

- Requires electronic copies of any research paper that has

been accepted for publication in a peer-reviewed journal, and is supported in whole or in part by Government funding, to be deposited into an institutional open access repository immediately upon acceptance for publication.

- Encourages Government Grant Holders to publish in a suitable Open Access Journal where one exists; the Government will cover the publication costs, if any.
- Encourages Government Grant Holders to retain ownership of the copyright of published papers where possible."

(Källa: Subbiah Arunachalam, Distinguished Fellow, MSSRF & Coordinator of the session)

NIHs policy stärks?

NIH har utsett en rådgivande Public Access Working Group (PAWG) **http://www.nlm.nih.gov/od/bor/workgroup_roster.html** för att ge råd om hur NIH på bästa sätt skall kunna genomföra sin Public Access Policy **http://publicaccess.nih.gov/**. Enligt information från Peter Suber har gruppen rekommenderat en skärpning så att "requests"ändras till "requires". Dessutom vill man ha en strikt övre gräns för embargot till sex månader. Detta är ett återupplivande av den amerikanska kongressens krav på just denna deadline. Nih utsträckte sedan tiden till 12 månader, sannolikt efter påtryckningar från förlagssidan.

Om forskare med NIH-stöd följde rekommendationerna skulle mer än 5500 artiklar per månad bli fritt tillgängliga. Hur verkligheten ser ut kan ses på NIHs statistik på **http://www.nihms.nih.gov/**.

Elseviers lobbying i USA

Peter Suber har tipsat om en artikel i The London Times, 20 januari, 2006 av Tom Baldwin och Anna Stroman, **British firms top foreign spending on US lobbyists**. I artikeln berättas att brittiska firmor spenderat mer än 165 miljoner USD sedan 1998 på lobbyverksamhet i Washington. Till de fyra firmor som spenderat mest hör Reed Elsevier med 12 miljoner USD.
Peter Suber visar också på William Walshs inlägg den 23 januari på *Issues in Scholarly Communication* **http://www.library.gsu.edu/news/index.asp?typeID=62** där han citerar den analys Center for Public Integrity **http://www.publicintegrity.org/default.aspx** gjort. Elseviers utlägg på lobbyverksamhet ökade enligt denna analys med 605% under perioden 1998 tom 2004.

Bolagets halvårsrapport för 2005 visar redan utlägg för lobbyverksamhet på 1,6 miljoner USD. Bland de specificerade lobbyverksamheterna listas följande som bör vara av stort intresse för ScieComs läsare:

- H.R. 1201, Digital Media Consumer Rights Act, provisions related to copyright.
- NIH reauthorization bill, provisions relating to access policies.
- U.S. government position on scientific publishing, provisions related to OECD position.
- German implementation of the EU copyright directive

The Research Information Network (RIN), UK

RIN startade 2005 för att leda och koordinera arbetet med forskningsinformation i UK. Projektet löper initialt på 3 år med en finansiering på 3 miljoner GBP från de fyra Higher Education funding bodies, de tre nationalbiblioteken samt de åtta forskningsråden. Målet är att hjälpa forskarna att hitta i den växande och alltmer komplexa mängden av information och att starta dialoger mellan olika aktörer inom forskar-, biblioteks- och informationsvärlden. Man har sex strategiska mål;

1. To develop, with the active involvement of key stakeholders, a strategic framework for enhancing the UK research information infrastructure
2. To ensure that the research community contributes to and collaborates in a programme of action tailored to its needs
3. To act as an advocate for research information provision at the highest levels of policy-making in the UK, and to represent the interests of UK researchers in relevant international forums
4. To co-ordinate action to improve the arrangements for researchers to find information sources relevant to their work, and how they may gain access to them
5. To lead the development of a programme to sustain and enhance management and development of the aggregate UK collection of published hard copy research resources
6. To co-ordinate action to ensure that the outputs researchers produce and need are retained and made available for use in the most effective way

RINs strategiska plan **http://www.rin.ac.uk/?q=strategic-plan**

Nytt från Kanada

Först av de kanadensiska forskningsfinansiärerna meddelade Kanadas *International Development Research Centre (IDRC)* **http://www.idrc.ca/en/ev-1-201-1-DO_TOPIC.html** i december, att de planerar sätta upp ett öppet arkiv med full tillgång till IDRCs omfattande forskningsmaterial och därmed väsentligt öka både visibilitet och sökbarhet. Dessutom tillgodoser man de IDRC-finansierade forskarnas stora behov av en publiceringskanal och hjälper forskare från södra världen att delta i det internationella informationsutbytet samtidigt som deras forskning får ökat genomslag.

"The world of scholarly communications is rapidly changing. The emerging culture of protecting intellectual property, soaring costs of accessing research literature, and difficulties in having research published in traditional journals are restricting the development of research capacity in the South."

Webb-enkät om öppna utbildningsresurser för högre utbildning

OECD's **Centre for Educational Research and Innovation (CERI)** utför en studie om Open Educational Resources (OER) i högre utbildning. Som en del av studien erbjuds en webbaserad enkät för enskilda lärare, instruktörer och forskare som använder eller producerar OER. Alla som arbetar inom högre utbildning inbjuds att fylla i enkäten, det tar ca 10-15 minuter. Den som anger sin e-post adress när enkäten fyllts i erhåller en gratis elektronisk kopia av den slutgiltliga rapporten. Direktlänk till enkäten: **http://www2.oecd.org/survey/Surveys/ TakeSurvey.aspx?surveyid=1075**

För mer information om studien se **http://www.oecd.org/edu/ oer**.

LOCKSS lanserar nytt initiativ för att bevara vetenskapligt innehåll - CLOCKSS

Ett antal förlag, bibliotek och lärda sällskap har startat ett tvåårigt pilotprojekt som använder LOCKSS-teknologin (Lots of Copies Keep Stuff Safe) för att skapa ett stort s.k. *dark archive*: en sluten säker plats för publicerat vetenskapligt digitalt innehåll. **http://www. webopedia.com/TERM/D/dark_archive.html%23** Innehållet i CLOCKSS skall bara bli tillgängligt efter en "trigger"händelse (en katastrof av något slag), som medför att materialet inte längre är tillgängligt från förlagets servrar.

Om detta inträffar, kommer en gemensam styrgrupp med representanter från alla tre samarbetskatergorierna att inleda en beslutsprocess för att avgöra om materialet skall betraktas som "föräldralöst" och om det bör göras allmänt tillgängligt. Styrgruppen säkrar att innehållet är kontrollerat och ser till att ingen enskild person eller sektor får auktoritet över "föräldralöst" material i systemet.

Mer information på **http://www.lockss.org/clockss**

Nytt från Adelphi Charter

I ScieCom info 2005:3 berättade vi om att RSA (The Royal Society for the encouragement of Arts, Manufactures and Commerce) i oktober i fjol bildade *The RSA Adelphi Charter on Creativity, Innovation and Intellectual property*

RSAs projektdirektör John Howkins rapporterar nu att man fått mycket god respons från personer och organisationer i USA, Europa, Afrika, Asien och Latinamerika.

Dokumentet har sänts till samtliga regeringsorgan i Geneve för vidarebefordran till deras representanter i WIPO och WTO. I november tillerkände WIPO RSA permanent status som observatör vid WIPO:s möten. Kopior av dokumentet har distribuerats vid WIPO World Summit on the Information Society (WSIS) in Tunisien. Focus är nu den engelska regeringens nya Independent Review of Intellectual Property, under ledning av Andrew Gowers, fd redaktör för Financial Times. Rapporten skall vara klar i höst och läggas fram för finansdepartementet och departementen för handel och kultur.

Påvlig copyright ger klirr i kassan

Vatikanen har beslutat att alla påvliga dokument nu omfattas av copyright. Detta gäller inte bara nuvarande påve Benedictus XVI utan retroaktivt 50 år tillbaka i tiden och kommer att tillämpas strict av Vatikanens officiella förlag *Libreria Editrice Vaticana*, med anor från 1587.

Beslutet har kritiserats för att behandla påvens ord som handelsvaror och hota kyrkans uppgift att sprida det kristna budskapet. Ett förlag i Milano berättar att de gett ut en antologi med 30 rader från påvens tal till samt ett utdrag från hans tal vid tillträdandet. Förlaget hade fått en räkning på 15 000 EUR (15% på varje boks försäljningspris och 3500 EUR i juridiska kostnader). Enligt uppgift krävs förlag på mellan 3 och 5% på exemplarpriset av varje verk som innehåller påvens ord. Om upphovsrättsintrång konstateras utgår juridiska kostnader och den högre procentsatsen på 15%.

(Källa: The Times, 23/1, 2006, Richard Owen.
http://www.timesonline.co.uk/article/0%2c%2c13509-2005615%2c00.html

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Nyheter och Notiser är sammanställda av **Ingegerd Rabow**, projektledare ScieCom, förste bibliotekarie Lunds Universitets Bibliotek, Biblioteksdirektionen
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Publications at the Social Science Faculty at Uppsala University

Nils Gottfries, Professor, Department of Economics, Uppsala University, with the help of **Leif Eriksson**

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What do we produce at the social science faculty at Uppsala University? In this article I will briefly review a study made by the "quality group" at the social science faculty. The purpose of our study was to provide quantitative information about published research. We can have different views on how various forms of publications should be valued but quantitative information can be a basis for discussions about what we are doing.

Some years ago a publication database was created by Uppsala University and this is a great advantage when it comes to counting publications. Publication lists by department are now available on the university web page and also included in the yearly reports from the different departments to the social science faculty. The compilation and counting of publications has been done by Leif Eriksson.

We did not try to describe the *process* by which research is done. What we count is the results in the form of published research. Publications were divided into 5 categories and also by language of publication. As it turned out, there were very few publications in other languages than English and Swedish.

Of particular interest to us was the degree of internationalization. To what extent are the researchers in Uppsala producers – and not just consumers – in the international research community? We view internationalization as an important instrument of quality control. Our research should be compared to, and compete with, the best international research.

Why Publications?

Why should we count publications? The purpose of research is to generate new knowledge and hopefully this knowledge should be useful in some way. But how could anyone use this knowledge if it is not published in one way or another? Presentations at seminars and newspaper articles can advertise the results but not transmit the detailed knowledge that is necessary if someone is to use the results for other research, government studies, policy decisions or in some other way. Publication is a necessary – but not sufficient – condition for use.

Quantity and Quality

But many publications do not necessarily mean good research. What we really want is good quality research – research that is useful in some way. Quality is hard to measure on this general level but the *form of the publication* and the *language* give us some indications of the intended readership.

Research which is published in scientific journals with refereeing has been evaluated by experts and

found sufficiently good to be published. Still, this is an uncertain measure of quality, because there are many bad journals with refereeing. The ISI selects journals to be included in the Social Science Citation Index and the Science Citation Index on the basis of the circulation and impact of the journals. If a journal is included in the ISI databases this is an indication of quality. Also, it means that the reference can be easily found by other researchers. But even in the ISI there are some bad journals.

The most reliable indication of quality would be to select "top journals" as journals which are frequently quoted in the ISI databases. Articles in such journals are typically good articles. At the same time, this would be a narrow quality indicator which would exclude many forms of publication.

Five categories

We did not try to select "top journals" but chose to divide publications into five categories:

- BOK: Books
- KAP: Chapters in books and published conference volumes
- ISI: Articles published in journals included in the ISI
- REF: Other articles which were subject to refereeing as reported by the author
- ART: Non-refereed articles.

Of these categories ISI and REF are typically scientific publications but the other categories may include also popular science, debate etc.

Input and Output by Department

To be meaningful, the publication numbers must be related to the size of the department. But the size is not easy to measure. Some persons are on leave or have part time positions. A full time researcher is expected to publish more than a teacher with a heavy teaching load. We chose to measure the size of a department by the amount of resources that the social science faculty gives to each department for research and Ph D education (fakultetsanslaget). Using this as input we thus constructed five output measures by relating the various publications to the allocation: *publication per million (PPM)*.

Since the Ph D education is analyzed in another report we excluded doctoral theses from the output measure and grants for Ph D students from the input measure. Alternatively one could have included these in the input and output measures.

But who should be said to belong to a department? What do we do with people on leave etc? Since our intention was to measure the results of research activity in the various departments - independent of how it is financed - we decided to include all persons who were reported to be active at least 30% of their time in the department. When publications had many authors, we counted the share of the authors that belonged to a particular department.

Publications in English

Table 1 and *Figure 1* show publications per million in English. There are substantial differences between departments. The departments of Psychology, Domestic sciences, and Economics focus very much on articles in international refereed journals (ISI and REF). The departments of Peace and conflict research, Government, and Economic history publish a substantial number of books and chapters in books. Some departments seem to publish very little in English. Although these numbers are subject to reporting errors they indicate a substantial variation across departments. An interesting observation is that the cross-disciplinary departments tend to have rather few international publications.

Publications in Swedish

When we turn to publications in Swedish we see a very different picture (Table 2, Figure 2). The department of psychology, which is a clear leader in international publications, publishes almost nothing in Swedish. Economic history, with relatively few publications in English, has a very large volume of publications in Swedish.

Comparisons within field

The faculty board asked us to provide comparisons within fields. How good is our department of economics compared to other departments in Sweden, for example. One way to answer this question is to look for rankings of universities. We found such rankings for economics and political science. In both cases the rankings are based on publications in good international journals. Either there is a selection of good journals or the publications are weighted by the impact of the journal. One well known ranking in economics puts Uppsala University as number 6 among the Nordic universities and 46 in Europe. A recent ranking in political science puts Uppsala as number 3 among Nordic universities and 25 in Europe. It is a matter of time when similar rankings will appear in other areas.

Conclusion

This kind of quantitative description raises some interesting questions. Why do we sometimes write in Swedish sometimes in English? When should one language be preferred to the other? Who is the intended reader? What are the arguments for writing books rather than journal articles? Why are there so large differences between departments? Are the subjects really that different in themselves or is it a matter of tradition. If it is tradition, is this something we could question and discuss? Should one expect all researchers to be part of the international scientific debate? If so, how can we help young researchers to learn how to publish in international journals?

A more detailed description of the method and the results can be found in Kvalitetsrapport 2005 published by the social science faculty in Uppsala.

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Table 1. Publication per million - English

	BOK	KAP	ISI	REF	ART
Economic history	0,00	**1,30**	0,10	0,00	0,10
Peace and conflict	**0,50**	**1,75**	0,56	**0,34**	**1,87**
Business studies	**0,11**	**1,24**	0,28	**0,32**	0,05
Domestic sciences	0,00	0,71	**1,04**	**0,67**	0,00
Information science	0,04	0,50	0,65	0,14	0,00
Social & economic geography	0,00	**0,98**	0,74	**0,34**	0,09
Economics	0,00	0,15	**0,96**	**0,36**	0,07
Education	0,04	0,17	0,00	0,03	0,12
Psychology	0,00	**1,32**	**3,18**	**0,73**	0,06
Sociologi	0,07	0,57	0,53	**0,35**	0,09
Government	**0,44**	**1,09**	0,60	0,10	**0,49**
East European Studies	0,00	0,46	0,39	**0,43**	0,17
Housing Research	0,05	0,47	0,32	0,21	0,10
Soc. Sci. Faculty	*0,08*	*0,74*	*0,77*	*0,30*	*0,17*

Table 2. Publication per million - Swedish

	BOK	KAP	ISI	REF	ART
Economic history	**0,72**	**4,26**	0,00	0,00	**3,14**
Peace and conflict	0,16	0,16	**0,11**	0,00	**1,16**

Business studies	0,03	0,16	0,00	0,06	0,00
Domestic sciences	**0,41**	**0,83**	0,00	**0,17**	**0,86**
Information science	0,08	0,27	0,00	**0,20**	0,00
Social & economic geography	**0,39**	**0,89**	0,00	0,00	0,45
Economics	0,11	0,26	0,00	**0,14**	0,44
Education	0,07	**0,87**	0,00	0,07	0,58
Psychology	0,00	0,10	0,00	0,00	0,06
Sociologi	**0,37**	0,46	**0,09**	**0,25**	0,60
Government	**0,69**	**1,66**	0,00	0,00	**1,19**
East European Studies	0,09	0,09	**0,09**	0,00	**0,95**
Housing Research	0,05	0,64	0,00	0,00	0,61
Soc. Sci. Faculty	*0,19*	*0,67*	*0,02*	*0,07*	*0,61*

Figure 1.
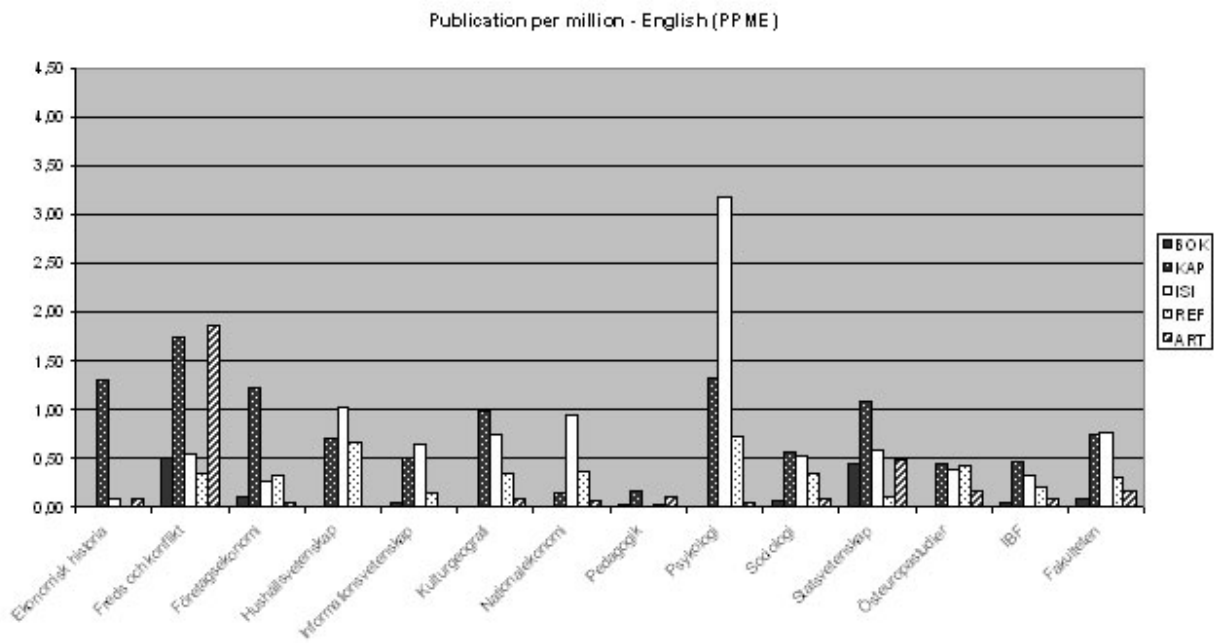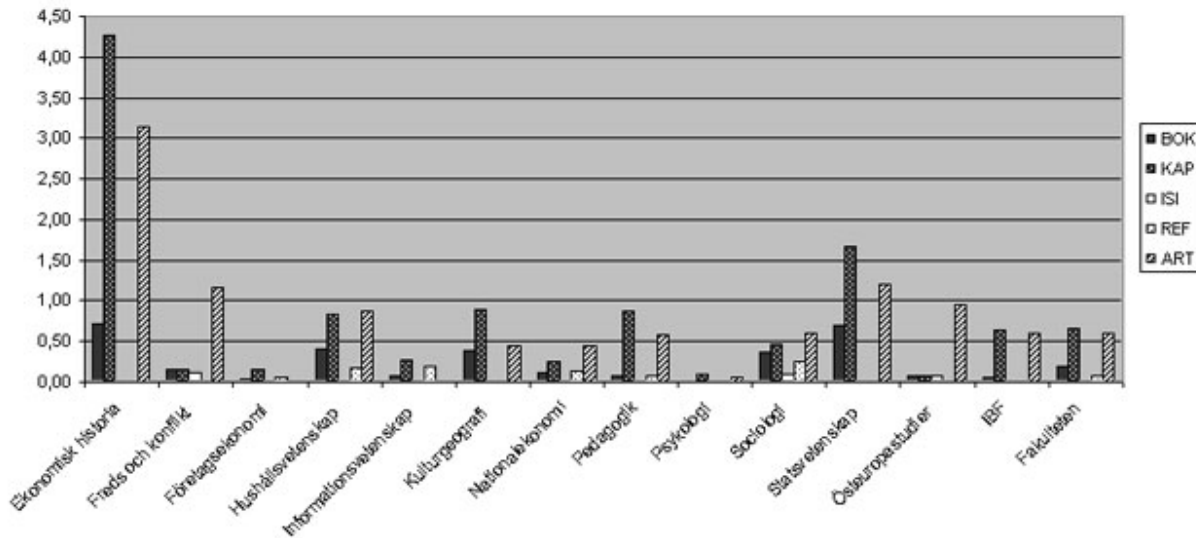

Publication per million - English (PPME)

Figure 2.

Publication per million - Swedish (PPMS)

Editor's comment: see also Ulla Carlsson, **"Open Access and Journal Publication in the Social Sciences and the Humanities"** (ScieCom info 2005:2), and Thomas Brante, **"Modes of Publication and Scienctific Quality"** (ScieCom info 2005:3).

Bottom(s) up to a Top down approach

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It is comparatively easy to build and structure an institutional repository. The difficulty lies in filling it with content. This very trivial observation is not uncommon among repository administrators and I certainly agree. At Blekinge Institute of Technology (BTH) we have followed a Bottom up approach, which now, almost ten years later, hopefully will lead to a Top down policy. The two strategies complement each other and maybe a two-front approach can be part of an answer on how to get submissions going.

Before Open Access

In 1997, when we started building our Institutional repository [1] nobody talked about Open Access. The phrase on every librarian's lips was rather "Digital libraries". We had a fair idea what a digital library should offer its customers and one big thing in our mind was serving full text documents produced at BTH. During the spring term of 1997, on a library initiative, an interim research editorial committee, headed by the vice-rector, was formed to streamline the publishing, distribution and storage of the department's research material. One of the tasks for this committee was to seek funds for developing a database as an electronic catalogue of research material. The project was named DELFIN (Direkt Elektronisk Lagring av ForskningsINformation = direct electronic storage of research information). The first thing the committee had to do was to specify guidelines for processing

research material at the University. For the system to work it was essential to ensure the reliable delivery of material from the various departments. The committee agreed that the written word was the best way to present research at the University. In this way a profile of the University could be presented, contacts formed and maintained with institutions and sponsors, while the University would become part of the scientific community.

We got our funding and were soon able to get started. Since we were supposed to be a model vanguard university library with focus on applied Information Technology, we felt we could build an archive that hosted all the university's research documents both as bibliographic records and in full text. Contributing to this megalomania was of course the notion that we were a young (founded 1989) and small sized organisation (ca. 4000 students). We had been a short way down the SGML road but it was a pretty ugly experience and we were not particularly keen on working that hard or spending that kind of money. Instead we turned our hopes to the new PDF-format. At that time researchers submitted PostScript files, which we converted to PDF at the library.

Our aim was to create a database, which could be maintained and developed within the existing organisation of our library. Technology itself was not our strong point. For this reason we wished to avoid having to write our own software or order custom-made software from outside consultants. So we appraised software from major reliable firms that could provide ready-made well-tested database systems compatible with WWW and who could guarantee up-grades. Our final choice was Lotus Notes produced by Lotus Inc., a subsidiary of IBM that at the time was running at BTH and from which we had minor programming experience. With just a little support we were able to develop precisely the WWW-interface we wanted, and in doing so were able to retain and even enhance our own ability to administer the system. The starting point for the design was that the researchers themselves, using a web form, entered the data into the system. This meant that they did not need to learn to use any new software and that all information received came directly from the original source. We tried to do everything to minimise the work involved in creating new records since the whole idea was based on researchers voluntarily submitting their data.

Researchers and...

The creation of the database was done under the wings of the editorial committee with feedback from the future contributors. A short time after the launching of the database the vice rector unfortunately got a new job and moved along. The editorial committee sort of died away after that and we lost our main connections within the university boardrooms. But we had our

research database and more or less everybody at BTH knew about it, even though many researchers were sceptical, especially the ones from the Computer Science department.

To keep our baby alive we tried to visit all the departments, tried to inform researchers in meetings at their workplace about the possibilities and the advantages of collecting all research documents in a central repository. During the years we have used web questionnaires for feedback when upgrades or major new facilities were being added to the research database. We always tried to have a sensitive ear for researchers requests or ideas of improvements ranging from new subject entries, document types to background colour. We have marketed Open Access and our research database in library courses on information retrieval given to postgraduate students and teachers. We have made the database compatible with the OAI-PMH [2] and made it searchable from OAISTER [3] and Google Scholar [4]. All as an effort to make it more attractive for researchers. The database is now an integral part, together with our bachelor/master theses archive, of the library services at BTH even though submission of research material is still voluntary and far from 100%. Now, in early 2006 we have about 1600 records and some 600 of them are in full text. In most academic environments departments usually have their own publication policies. We have therefore constantly had to justify the database, outlining its advantages for researchers and the departments, and have consequently understood the importance of promotion and sensitivity to researchers' needs. To be able to offer researchers a viable and advantageous system is important, but equally so is that the system can handle and disseminate research documents in a way that is useful for the whole organisation.

There is of course a problem with voluntary submission – you have to argue with and remind people constantly and most of the time it does not help very much. But there is also a problem with submission under orders – It might work in a commercial environment but in an academic organisation orders from above are in many cases challenged. With this in mind we have tried to work both the bottom up and the top down strategies. The whole project started as a bottom up initiative, and I think it would not have existed if we had not worked from this angle.

...administrators

Having noticed how the submissions dropped after the first years of production and heavy marketing, the library director started to approach the faculty board trying to convince them of the usefulness for the board of a repository that carried all the University´s research documents. An idea was brought forward in 2001 that since the Faculty board is the preparing body concerning

the allocation of research funds it could instruct the departments that all BTH research documents that were referenced to in the applications should be submitted in the BTH research database. This was discussed but never decided and put to actual practice but it would have been nice! The discussion in the faculty board gave one major practical result though when it inspired the most research productive department at the time – The Department of Signal Processing – to hire a secretary to collect and enter all their research documents into the database. This was vital and gave the database a more significant relevance and stamp of approval.

Fear of violating copyright has been an important factor for researchers deciding not to submit full text documents. Our advice has usually been: If in doubt – publish. If there is any protest from the copyright owner we will immediately take away the full text file. With the Romeo/Sherpa [5] project things have changed quite a bit for the better. Now you can in a very easy and pedagogic way find out and disseminate what the Open Access deal is with most major publishers and feel a bit more comfortable about whether to publish full text or not. A great tool in our arsenal of arguments!

Another important "survival factor" has been the use of the database as a provider of references of scientific publishing for the university's annual report and for the publishing reports every four years to the ministry of Education. I remember some years ago when the director of administration wanted me to tap the repository for all peer reviewed scientific documents for the ministry report. I sent him the lists, that were not very impressing in volume, with the header "Submitted documents to the BTH research database 200X". He called me back next morning and asked if this was really all we had produced? I said: Read the header! In the afternoon there was a mail to all staff from the director saying that in a week a report was being sent to the ministry of Education supplemented by a list of research documents produced at BTH and that the list was extracted from the BTH research database. That week we had a rush of submitters! This incident is for me proof that also administrative uses must be considered and can be used as carrots or positive incitements for submitting researchers.

Open Access policy?

With the strengthening of the Open Access movement, signing of the Berlin Declaration [6] by the Swedish Research Council plus the Association of Swedish Higher Education and inspired by the decision of the Board of Lund University [7] we at the library now have written a suggestion for an Open Access policy to be forwarded to the Board of BTH. It goes a step further than Lund's statement since it recommends the board of BTH to approve the following two principles:

- That every scientific document published by staff at BTH shall be deposited as a copy in digital form at the research database at BTH and that free access is given to the document when copyright or secrecy rulings are not applicable.
- That writers at BTH are recommended to publish research articles in Open Access Scientific journals when suitable journals of this type are available.

Hopefully the board will decide this policy later this spring. It certainly would help to strengthen our research database as a viable resource in the minds of our researchers. And it will of course contribute as a great foundation for all the usual arguments – better visibility, more citations, more use, good for marketing etc. For the foreseeable future there is no magic solution but supplying good tools and arguments for the Open Access cause – Keep on convincing by example until the majority of research documents are available for free!

For us the bottom up strategy has worked fairly well. I guess it is better suited for smaller and tighter organisations where the channels of decision making are shorter and where personal contact with researchers is possible. To be able to showcase an idea that works OK from the beginning using ideas that have been supplied as feedback from users and providers is an accessible way but can only work if you are sensible to requirements from both researchers and administrative users and build enough carrots into the system.
Top Down is an approach that, I suppose, would be more attractive for bigger organisations but only as a platform for a Bottom Up way of building and marketing the end product.

[1] BTH forskningsdatabas. **http://www.bth.se/fou**
[2] Open Archive Initiative Protocol for Metadata Harvesting. **http://www.openarchives.org/OAI/openarchivesprotocol.html**
[3[OAISTER. **http://oaister.umdl.umich.edu/o/oaister/**
[4] Google Scholar. **http://scholar.google.se/**
[5] Journal Policies - Self-Archiving Policy By Journal. **http://romeo.eprints.org/**
[6] Berlin Declaration. **http://www.zim.mpg.de/openaccess-berlin/berlindeclaration.html**
[7] Access to research results from Lund University, Sweden. **http://www.lub.lu.se/sciecom/oapolicy_lu.pdf**

Svensk sammanfattning

Det är relativt lätt att bygga och strukturera ett digitalt arkiv för

vetenskapliga fulltextdokument. Svårigheten ligger i att fylla det med tillräckligt innehåll så att det får ett liv och en dignitet som gör det till en självklar källa för användare. Vid Blekinge Tekniska Högskolas (BTH) bibliotek, har vi nästan tio års erfarenhet av att vad som på engelska oftast benämns "Institutional repositories". Trots ett relativ framgångsrikt arbete att utan dekret från högskolestyrelse eller fakultetsnämnd få BTHs forskare att frivilligt lägga in sina dokument i vår forskningsdatabas hoppas vi nu på ett beslut från högskolestyrelsen. Vi tror att om man antar vårt förslag till policydokument som bl a säger att forskningsdokument producerade vid BTH alltid ska deponeras i en elektronisk kopia i vår forskningsdatabas och att fri tillgång till dokumentet ges via databasen då upphovsrättsliga eller sekretessbestämmelser inte ställer hinder i vägen. Då kommer vår forskningsdatabas att nå den kritiska massa som är så viktig både vad gäller innehåll såväl som status för att kunna överleva.

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Open Access, the next steps at Uppsala University

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The insistence of the scientific community and the general public that publicly financed research should be widely and quickly accessible without barriers is known as the Open Access movement. This is supported by new technologies and new economic models which are helping to create a greater diversity of complementary possibilities for the dissemination of scholarly work.

Strategies for Open Access support at Uppsala University

The issue of world wide scholarly communication strategies and support of open access in a practical way is being discussed at Uppsala University as at many other universities.
Uppsala University is a highly diversified research university. Education and research are carried out in many fields across nine faculties, grouped in the three Disciplinary Domains of Arts and Social Sciences, Medicine and Pharmacy, and Science and Technology.

Integrated digital environments

The university has focused on creating integrated university digital environments built on publishing and repository systems to report,

publish, preserve and archive Uppsala University resources rather than focusing on publishing in Open Access Journals only. That means the general strategy at Uppsala University is building support infrastructure and demonstrating the concept by examples.

It all started with the publication of doctoral theses and research reports which is of primary interest for the academic community. This helped to demonstrate the concept and convinced the local scholars of the potential which an institutional repository offers. It is important to stress that integration with local processes and routines was one of the pre-conditions for achieving this.

Uppsala University was one of the first universities in Scandinavia to set up a programme focusing on electronic publishing and building an institutional repository. In 2000 the Electronic Publishing Centre (EPC) was established as a part of the University Library. Its mandate was and is to focus on the development of technical solutions based on a well-functioning workflow for the fulltext publishing of all kinds of scientific publications in digital form.

To successfully maintain the publishing and repository activities it is necessary to establish good contacts with scholars. The EPC offers a wide range of services including courses in electronic publishing and lectures for doctoral students. A number of these initiatives have been in operation for the past four years and in some cases, for example at the Faculty of Medicine, this has resulted in mandatory courses in new forms of scholarly communication for new doctoral students.

As the primary concern of scientists is the wide dissemination of their research results, the solutions supporting this have provided the main focus while developing the underpinning infrastructure.

The possibilities for increasing the attractiveness of the Uppsala University institutional repository have been carefully examined and, in addition to free dissemination of metadata, a cooperation with a range of search services has started. Among these services which index our repository I can mention Google Scholar [1] and Scirus [2], a search service powered by Elsevier. I am convinced that the fact that Uppsala University is a part of a broader cooperation – the DiVA cooperative group – has helped to make all fifteen DiVA group members' local repositories more attractive for other services.

The next steps

The great support within the university has been demonstrated recently with a promise to extend these activities to all the faculties and to create a leading campus agency in teaching about

scholarly communication issues. This agency will be a part of the Electronic Publishing Centre and will focus on practical issues connected with publishing and self-archiving strategies.

Future developments are:

- To integrate the university DiVA [3] publishing and repository system with the On-line Publication Documentation System OPUS [4]
- To build supporting information and helpdesk functions focusing on self archiving in the DiVA Institutional Repository
- To build mechanisms and technical solutions for automatic tracking of journals policies for articles which are being deposited
- To extend mandatory courses and educational activities to all faculties

We expect these steps to result in a broad acceptance of the institutional repository at Uppsala University as well as improved understanding of the possibilities in which the new ways of scholarly communication will benefit our researchers.

Starting with mandatory publishing of comprehensive summaries of doctoral theses, we soon expect that all monograph theses will also be published digitally. In line with the current open access trend the university will start to fill the digital repository also with academic results published elsewhere by Uppsala scholars.

[1] **http://scholar.google.se/**
[2] **http://www.scirus.com/srsapp/**
[3] **http://www.diva-portal.org/about.xsql**
[4] **http://opus.uu.se/?lang=en**

Stick or carrot - how to fill an institutional repository

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Introduction

SLU (Sveriges lantbruksuniversitet – Swedish University of Agricultural Sciences) has four main campuses, situated in different parts of Sweden. SLU employs 3200 people and has ca. 3300 undergraduates and 800 postgraduate students. Roughly half the staff are concerned with teaching and research. The main subject areas are agriculture, forestry, veterinary medicine and environmental protection. About 150 doctoral and licentiate theses are produced annually in the postgraduate programmes and about 7-800 undergraduate theses in the undergraduate programmes.

The SLU Libraries first became involved in electronic publishing around 1990. This article attempts to summarize developments from the very first ideas of electronic publishing to the operational archives we have today. What difficulties and impediments had we to deal with during those years? What strategies did we choose to motivate the researchers and what were the critical decisions which made it possible to continue with our aims?

Background

In cooperation with the Swedish Board of Agriculture and SLU External Relations, the SLU Libraries first created a full-text database on ecological farming and related subjects. The database, 'Växteko', was updated periodically and distributed in CD-ROM format. By agreement with publishers, relevant material was selected by an editor from different publications for inclusion. The technical production included scanning and conversion to SGML. The editor provided metadata for the documents that were included in the database. In 1996-97 the SLU-libraries developed a web-publishing platform based on Oracle. [1] At this stage the document format was changed to HTML, but the technical and editorial workflow was basically unchanged.

On the basis of the 'Växteko' experience of editing and handling digital documents, and from the technical know-how generated in the creation of the publishing platform, we concluded that the SLU-libraries had a major role to play in introducing and coordinating electronic publishing within the university. Our primary strategic aim was to anchor an electronic publishing project, not only within the library organisation and the academic community in general, but also at the very highest level of the university. We devised a plan for a feasibility study, 'PUB2000', which was commissioned by the Rector in the spring of 1998. The study was chaired by the head librarian, and the secretary was also a librarian, but the working group included leading representatives from all faculties as well as representatives from the university's IT-department and the its web-organisation, together with other stakeholders. The group worked for six months from October 1998 to March 1999. Under the auspices of PUB2000, a technical team at the library developed and tested a platform for electronic publishing. PUB 2000 concluded its work by submitting a report (EPSILON - Electronic Publishing of SLU-material ON-demand) in May 1999.[2]

The report mainly concerned a plan for a two year project, 'Epsilon', to run during 2001-2002. The project focused on two publication types: doctoral dissertations and undergraduate theses. A main objective of the project was to develop within the university a technical infrastructure for electronic publishing, which also included editorial support for authors. At the end of the two-year project, we had doubts about our technical platform. A great deal was happening in academic electronic publishing, and new concepts were being formed, not least within the Open Archives Initiative (OAI). We began to test a new platform, based on the EPrints software from Southampton University.[3] EPrints had native support for the newly created protocol for metadata harvesting (OAI-PMH), thereby facilitating interoperability between repositories. We quickly realised the potential benefits of this development, and soon chose to change platforms and to discontinue our own Oracle-based system.

The Epsilon project was funded for two years. Towards the end of

that period, it became evident that the goals of the project could not realistically be attained within the given timeframe. It was also clear that development, coordination and support of a system for electronic publishing within the university was not a finite task. With the support of the head librarian, the Epsilon group therefore submitted an application for funding of an EPC (Electronic Publishing Centre) within SLU. This was not intended to be a new project, but rather a new permanent unit within the university, associated with, but not directly part of, the library organisation. EPC was to be a centre of excellence within the university combining the various skills and competencies required in the publishing process. Our application was submitted at a very inopportune moment, however: SLU was going through a difficult economic period, which resulted in severe cutbacks and major reorganisations. Thanks to a very committed and visionary library leadership, we were able to continue the work, basically in accordance with the plans laid out in the earlier projects - albeit on a smaller scale and at a slower pace.

The Rector's decision

PUB2000 had convinced us that voluntary contributions by authors were not a reliable way of creating a comprehensive publishing system. Therefore, we petitioned for and obtained a ruling from the Rector, making it compulsory for postgraduate students to upload their doctoral dissertation to our system. We also designed, in cooperation with SLU´s legal department, a copyright agreement between authors and SLU. The main purpose of the agreement, from our point of view, was that an author should not be able to withdraw a dissertation from our repository as a result of pressure from commercial publishers or for other reasons.

The Rector's decision was implemented in January 2003. This was a crucial step, and made it possible for us to set up and begin to operate the Epsilon publishing system.[4] In short, the decision meant that the use of a special stylesheet became mandatory, and that the author must submit the thesis through the Epsilon publishing system. Although we had the Rector's decision, this did not mean that information about the new publishing rules was automatically established in the research departments. One of the hardest tasks was to disseminate information to the involved researchers and students in the various departments on the several campuses. We arranged seminars, to which we invited post-graduate students, teachers and supervisors to provide information about using the stylesheet and the Epsilon publishing system. We also contacted the post-graduate students directly by e-mail with information about new routines. But the most important issue was to build up information on the web, such as step-by-step instructions for authors, so that we could refer to the Epsilon website to which they were also supposed to submit the thesis. Today, the publishing workflow in Epsilon involves two persons; the author who submits a pdf-file, and an editor, i.e. a librarian, who

checks the submission and the bibliographical data and finally publishes the thesis.

In the first few months before the publishing routines had been settled, our work was devoted to giving the authors a lot of support, but also to convincing researchers about the benefits of electronic publishing. Even if many students were favourably inclined to the idea of spreading their work via Epsilon, some postgraduate students and their supervisors were concerned about exposing publications in full-text form on the Internet, in view of the perceived risk of plagiarism. In such cases, we did not force the issue; instead we made exceptions and published only the abstract.

It also appeared that there was confusion among many researchers as to whether the Rector's decision actually made it mandatory to publish the full text, or to publish only the abstract. Therefore, we petitioned for a further ruling, which resulted in a second Rector's decision in October 2003, making it clear that all SLU doctoral and licentiate theses should be published in full-text form, and stipulating that the number of printed copies of a thesis delivered to the library was to be reduced from 120/130 to 20/30 copies. At that time, we had compiled the first user statistics from the Epsilon archives: these showed more than 300,000 downloads during the first year of operation. These figures seemed to function well as a carrot, and from that point onwards, the publishing routines functioned more smoothly and we spent less time on assistance and arguments.

Publication of undergraduate theses

The focus of the Epsilon project also included undergraduate theses. We had contacts with representatives for the veterinary medicine programme - which at that time was subject to minor reorganisations - who wished to start a new serial publication. They showed interest in beginning to publish their undergraduate theses, which is why we started, in January 2003, started two parallel archives, one for doctoral and licentiate theses and another for undergraduate theses in veterinary medicine. At the same time we were also involved in collaboration with other Swedish universities and university colleges in a national project called SVEP.[5] One of the goals in the SVEP project was to create a national portal for Swedish undergraduate theses and diploma work, using OAI-PMH, with a common metadata model and a set structure for local repositories. The service 'Uppsök' has been available since November 2004. [6]

Our experience demonstrates the advantages of starting by cooperating with one interested partner, in our case the veterinary programme, then continuing to attract the interest of other departments and educational programmes. Soon, other

undergraduate programmes wished to begin to publish in Epsilon, and now all faculties are represented. Recently, in December 2005, the faculty of Landscape Planning, Horticulture and Agricultural Science at Alnarp decided that all undergraduate theses in that faculty should be published in electronic format. This is an important step, which we hope the other faculties will follow.

Conclusions and final remarks

In our organisation, we have a 15-year perspective on electronic publishing. Today, the Epsilon archives contain ca. 1,150 full texts of doctoral, licentiate, international master's and undergraduate theses. We have a running system which is rapidly growing, and we are experiencing an increasing demand from researchers and students for electronic publishing. At present, we are developing our publishing system to also include other publications produced at SLU, such as reports, articles and books. In retrospect, however, it seems as though many of the questions and issues that were on our original agenda are still there. Print-on-demand solutions and establishment of a standard document format for SLU, based on XML, are some of the major outstanding issues. One could argue that lack of funding has forced us to transform some of our original short-term objectives into long-term goals.

At SLU, we have explored some fundamentally different models for content creation, with slightly different roles and implications for the editor/librarian as well as for the author and other stakeholders. We have a selective, subject based archive, i.e. 'Växteko', with no author involvement whatsoever. In the Epsilon publishing systems, the author is responsible for submitting the document in electronic format and is partly responsible for the metadata.

Our experience is that whether you have access to the stick or the carrot, whether participation is voluntary or compulsory it is always important to pay attention to motivation. Usage statistics provide a good motivator for authors. In presentations we have been able to show the enormous potential inherent in the electronic distribution, as compared to traditional print distribution. With the help of statistical tools applied to our web logs, we have compiled 'top ten' lists that show astonishing numbers of downloads for individual works, but statistics also show a very fast increase in downloads overall, from 2003 to the present time. Ideally, one should never need to resort to the stick. Although we had the Rector's decision behind us, we put a lot of effort into convincing and persuading graduate students about the benefits of open access and full texts publishing. We feel that it was time and effort well spent.

We firmly believe that, irrespective of the kind of funding or business model on which one bases an electronic publishing venture, it is more important to have a good, generally supported

plan than to have good finances. In our experience, it is also a fundamental requirement to have the whole-hearted support of the library leadership. We feel confident that we have that, and that we will return to the unsolved issues and resolve them eventually as well as meeting new demands.

[1] Växteko web-site (in Swedish): **http://www.vaxteko.nu/**

[2] PUB2000 (1999). EPSILON, Electronic Publishing of SLU-material ON-demand: en förstudie. Available in Swedish at: **http://epsilon.slu.se/epsilon/Epsilon.pdf**

[3] EPrints web-site: **http://www.eprints.org**

[4] Epsilon web site: **http://epsilon.slu.se/eng/index.html**

[5] SVEP - Samordning av den svenska högskolans elektroniska publicering. A brief intro is available at: **http://www.svep-projekt.se/english/**

[6] LIBRIS Uppsök web-site (in Swedish): **http://uppsok.libris.kb.se/sru/uppsok**

Svensk sammanfattning

Biblioteken vid Sveriges lantbruksuniversitet (SLU) har lång erfarenhet av frågor som rör elektronisk publicering. I våra tjänster har vi arbetat med olika strategier för att fylla dem med innehåll. Vi driver Växteko som är en ämnesbaserad fulltextdatabas där en redaktör/bibliotekarie ansvarar för inmatning och urval. Dessutom driver vi Epsilon ett publiceringssystem för avhandlingar och examensarbeten som bygger på författarinmatning och där bibliotekarier svarar för användarstöd och utför kvalitetskontroll av metadatan. Beträffande avhandlingar är det obligatoriskt vid SLU att publicera dem elektroniskt via Epsilon. Oavsett om inmatning är obligatorisk eller frivillig är det vår erfarenhet att man initialt måste lägga mycket tid på att marknadsföra systemen inom universitetet samt på att motivera författarna. Det är vidare viktigt att förankra projekt och ansatser inom detta område på hög nivå såväl inom den egna biblioteksorganisationen som inom universitetet.