

More content in the institutional repository

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"Self-archiving is, of course, very desirable, but the issue is quite simple: Publishers are not really going to allow authors to self-archive in an easy way, and authors are not going to do it unless it is completely painless."

–Vitek Tracz, InfoToday January 2005. [<http://www.infotoday.com/it/jan05/poynder.shtml>]

This is a summary of a report from a BIBSAM-funded project "Mera dokument i det institutionella arkivet" that ran from September 2004 until January 2005.

Aims of the project:

- To increase the awareness of self-archiving and Open Access issues among researchers at Lund University
- To try a work-flow that makes it as simple as possible for authors to self-archive, by supplying them with information on which of their publications they are allowed to self-archive and doing the actual self-archiving for them by proxy.

Background: Electronic publishing and self-archiving at Lund University

Lund University has no policies on electronic publishing or self-archiving. Neither does the university require any kind of annual standardized or centralized publication lists from faculties or

departments. Electronic publishing and self-archiving is a very decentralized affair where departments or divisions make their own decisions.

The most common way to self-archive at Lund University is that the author makes his publications available from his personal home page. There are also a few examples where departments or divisions self-archive systematically. (e. g. Department of Automatic Control [<http://www.control.lth.se/publications/>]).

Awareness of the Open Access movement, the changes in scientific communication, copyright issues is not widespread but it is growing. The Lund University Libraries, Head Office has tried to raise awareness by giving workshops, seminars, writing articles in the university magazine and visiting departments.

The Lund University Libraries Library Board recognises the importance of paying attention to the changes in scientific communication and one of the strategic goals for the Head Office is "To support researchers publishing and self-archiving in Open Access journals and services".

Lund University Libraries offer two central services for self-archiving. Since 1996 all dissertations have been registered in Lund University Dissertations [<http://theses.lub.lu.se/postgrad/?lang=en>]. Registration is mandatory but full text is optional. Out of ca 3,500 registered dissertations 150 are available in full text. Starting in 2005 the Faculty of Medicine will publish all their dissertations in full text in Lund University Dissertations and we have noticed an increasing interest from individual doctoral students to make their dissertations available. In 2002 we set up an institutional repository demonstrator (LU:research [<http://lu-research.lub.lu.se/>]). The Information Committee at the Faculty of Medicine immediately was interested in using the service and as a result of our meetings we chose a broader scope for the service and included references without full text in the archive. The Faculty of Medicine wanted to have a single entry point to their publications. They also stressed the importance of branding and together we created a medical faculty user interface to their subset of LU:research called Lund Virtual Medical Journal (LVMJ) [<http://lvmj.medfak.lu.se/>]. LVMJ is seen as a marketing tool for the faculty and it is "owned" by their Office for Strategic Communication. It is maintained by the faculty library who also enters the records and the full text. At the start only references were entered but from spring 2004 full text is entered whenever possible.

Project goal

The use of LU:research by other faculties is very uneven, with individual departments, divisions or researchers entering mainly references.

To increase the use of LU:research and make more full text dissertations available we are working both towards the university administration to get policy decisions and towards the researchers to get their publications into the repository.

Since there are no central policy decisions yet, we have to convince the researchers and the departments that there are advantages in making their publications freely available and preferably using LU:research in favour of the already existing self-archiving on institutional or personal websites.

In this project we wanted to reach new researchers and try to get their attention by giving them a very specific offer to self-archive named articles for them.

Selection of articles and connecting them to the authors' e-mail

Using standard bibliographic databases, we searched for all papers with at least one author from Lund University in journals from publishers listed in the SHERPA/ROMEIO [<http://www.sherpa.ac.uk/romeo.php>] database on publishers copyright policies and self-archiving. We made separate lists of publishers who allow self-archiving of postprints using their pdf-file and of those who allow self-archiving of the last refereed, accepted manuscript.

The author names and addresses from the bibliographic data were checked against the LDAP directory of Lund University. We could, with reasonable accuracy, derive a list of authors from Lund who had published in journals allowing archiving of pre-prints or post-prints.

The technology used is simple, a couple of perl scripts and a very simple (2 tables) Mysql relational database. The database was built in order to answer different questions mainly for statistical purposes. In addition it makes it very easy to extract information grouped by different fields like year, authors, self-archiving policy etc. One of the scripts was used for uploading the article information into the database. The other script was written to take care of sending the emails to the authors. The main difficulty was to correctly identify all the authors from the bibliographic data.

We limited the search to publication years 2001 - 2003 and to the databases in ISI Web of Science to get a reasonable amount of articles. Then we matched the publishers against the SHERPA/RoMEO database. Finally we matched the authors against the Lund University staff directory LDAP-server to get the authors e-mail addresses. This gave us 377 articles where the publishers allowed self-archiving of postprints using their pdf-file, 836 articles where the publishers allowed self-archiving of the final, refereed and accepted manuscript and 218 articles where only pre-prints were allowed. The number of articles where no self-archiving was allowed was 620. Lund University is strong in chemistry research

and a large portion of these "white" articles are published by the American Chemical Society.

Contacting the authors

The collected information was stored in a database and from that database authors e-mail, article and journal title was added to a standard e-mail that we sent to the article authors. In addition to the information in the e-mail we also created a web page with additional information on self-archiving and Open Access.

[<http://lu-research.lub.lu.se/moreresearch.html>].

The e-mail content was a brief introduction to the project, article and journal title, some information on the probability of free articles being used more than those that requires subscription, a short how-to-do, link to more information and contact information. The authors only had to reply if they wanted their articles self-archived in our institutional repository LU:research [<http://lu-research.lub.lu.se/>] and then we did the practical work. Either the authors sent us the pdf-files or we downloaded them from the journal sites.

Response from the researchers

We sent 377 e-mails to 398 authors and received positive replies from 109. No one responded negatively to our e-mail. The only complaints were from three authors who were co-authors of several articles. They wished we could have sent all articles listed in one message. The reason we did not send lists was that we wanted all co-authors of an article to get the same mail. Divided by faculty the responding authors were affiliated as follows.

Faculty of Medicine: 28

Faculty of Science: 24

Lund Institute of Technology: 5

Faculties of Humanities and Theology: 4

Administrative, Economic and Social Sciences: 1

Lund University School of Economics and Management: 1

The total number of postprint, publishers pdf allowed articles sorted by authors faculty affiliation.

By faculty of

medicine: 192 articles

science: 125 articles

technology: 48 articles

humanities: 6 articles

social sciences: 5 articles

economy: 1 article

13 of those who responded asked us to self-archive as much of their publication lists as possible. Ca 200 full text articles were added to the archive.

Follow up

After adding the articles to the archive we sent a personal e-mail to each of the authors who had responded, telling them how to find their records in LU:research and asking them to reply to a set of questions. We got 28 replies out of 63 possible.

The first questions were related to future workflow. How would they want this service to be organised in the future. Would they do the self-archiving themselves or through a centralized service? 27 replied that they wanted the self-archiving done by a central service at the university and 1 that the individual researcher should do it.

25 would send information to a central service when they had published a new article. 2 would not. One of these argued that the identification of new articles should also be done centrally. 3 of the respondents worried about remembering to send the information to a central service.

Questions regarding attitudes towards self-archiving postprints in manuscript form and preprints and willingness to self-archive a postprint in a refereed and accepted manuscript version. 16 yes and 11 no. The concern raised in a number of the no replies was the difficulty to know for certain the status of a manuscript copy. Only 1 would self-archive a preprint.

Our last question was if they wanted us to visit their department and inform about LU:research, self-archiving, Open Access etc. 12 answered yes and 12 answered no.

The replies from this small subset of researchers positive to self-archiving show that they don't want to do the the actual self-archiving themselves, more then half of them are willing to self-archive accepted and refereed postprints in manuscript form and only one would also archive preprints.

Since major publishers like Elsevier, Springer/Kluwer, Nature Publishing Group, etc have adopted the strategy of allowing only manuscript post-print publishing the researchers´ attitude towards self-archiving postprints in this format seems to be an obstacle to consider. Out of the 1431 articles where some kind of self-archiving was allowed in our sample 836 belong to this category. Based on the replies regarding the willingness to self-archive postprint manuscript we decided not to make a mass-mailing of the 836 articles in this category.

Conclusions

As a one off marketing of LU:research and self-archiving in general we deem the outcome of the project as satisfactory even if we only got replies to 109 e-mails out of 377. Since the authors only had to reply to an e-mail to get an article self-archived this only

emphasises the general lack of awareness of and incentives to self-archiving at Lund University and, it seems, most other universities. Even so, we have reached many new researchers. These new contacts will hopefully serve as inroads into their departments as we continue to work in a follow-up phase.

Our next step will be to contact the researchers who have replied positively and see if we can get a general mandate from their division or department to self-archive all publications that are allowed and doing that by proxy.

That we should do all this work centrally I see as a temporary solution while we are establishing self-archiving as a routine practice among researchers at Lund University. A success criterion will be the development of a network of proxies at faculty and/or department level, preferably utilising the network of libraries that is in place already at Lund University.

The way of identifying articles and authors that we have used could be used to identify potential self-archivers at any University.

Staff

Jörgen Eriksson, Librarian at Lund University Libraries, Head Office co-ordinated the project and was responsible for the contacts with researchers.

Hampus Rabow, MA, Lund University, did the search for articles and the matching against the different databases.

Salam Baker Shanawa, System Developer at Lund University Libraries, Head Office, was responsible for the automated e-mail
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