

# Self-Archiving of Research Output For the RAE



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# What is Self Archiving?

Self archiving is the practice of authors submitting their scholarly output to an online archive which makes the items available for free download.

- Part of wider Open Access movement
- “Output” includes papers, posters/presentations, journal articles, book chapters, theses etc etc.
- This differs from traditional publication models.
  - Publishers are no longer gatekeepers
  - Knowledge is available to all, not just the well-heeled.
  - Access to ongoing research

# What is Open Access?

A statement of principle, formalised by the Berlin Declaration. There are degrees of commitment:

**Self-archiving** Work published by “normal” means is made available by upload to an institutional or subject repository.

**Self-publishing** Many institutions engage in this, whether via an academic press or a Technical Report series. An optional, specialist activity.

**Open Access journals** Examples include FirstMonday and PLoS. Essentially, any costs are charged to the contributor to cover due diligence and knowledge is free at point of use. The “gold standard”.

# Why should we be involved?

Why should we be involved in self archiving?

- At an individual level?
- At an institutional level?

Several reasons. Firstly, as individuals:

- Wider availability of one's research increases its impact.
- Useful for the RAE and similar exercises
- Convenience:
  - Nobody need ask you for papers ever again!
  - It is much easier to find papers online than those stored in a library.

# Why should we be involved?

Secondly, as institutions:

- In Europe and now in the UK, increase in signatures to the Berlin Declaration etc.
- Institutional archives are the most common manifestation of a commitment to Open Access
- The Science and Technology Select Committee encouraged Open Access policies in their tenth report
- Increase profile of institution's research
  - Particularly useful for theses, which may not otherwise achieve wide dissemination.
- Repositories are amenable to automated monitoring for the RAE and other purposes (BCS/Anthony Finkelstein)

# What is ePrints?

ePrints is:

- A web-based repository system developed by the University of Southampton
- Designed to maintain a digital library of “publications”
  - Paper-focussed, but can deal with other media
- Out-of-the-box provision
  - Little customisation required
- Sector-wide tool with an active user community (45 registered UK repositories)
- Third party RAE support tool

# Existing system: Overview

At Lincoln, the Department of Computing and Informatics already has a repository

<http://eprints.lincoln.ac.uk>

- Small (only 74 publications).
- Built using the Open Source ePrints software.
- Registered as an active ePrints archive and indexed by Google Scholar, CiteSeer etc.
- However, not all academics in the department make use of the service:
  - Most submissions from the DSE group.
  - Tedious submission process.

# DCI ePrints

Faculty of Technology ePrints Service



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## Latest Additions to Faculty of Technology ePrints Service

### Today

Nutter, David and Boldyreff, Cornelia  
[Evaluation of an awareness distribution mechanism: A simulation approach](#)  
13 June 2005, Conference or Workshop Item. [Deposited 10 May 2005]



### Thursday

Adams, Paul  
[Towards Supporting Agile Practice Within The Libre Software Paradigm](#)  
11 July 2005, Conference or Workshop Item. [Deposited 05 May 2005]



Adams, Paul and Boldyreff, Cornelia and Nutter, David and Rank, Stephen  
[Adaptive Reuse of Libre Software Systems for Supporting On-Line Collaboration](#)  
17 May 2005, Conference or Workshop Item. [Deposited 05 May 2005]



Adams, Paul and Boldyreff, Cornelia and Nutter, David and Rank, Stephen  
[Using Plone To Support Collaborative Research](#)  
11 July 2005, Conference or Workshop Item. [Deposited 05 May 2005]



Adams, Paul and Nutter, David and Rank, Stephen and Boldyreff, Cornelia



# Example: an archived thesis



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## A Reflective Architecture to Support Dynamic Software Evolution

Rank, Stephen (2002) *A Reflective Architecture to Support Dynamic Software Evolution*. PhD thesis, University of Durham.

Full text available as:



[PDF](#) - Requires [Adobe Acrobat Reader](#) or other PDF viewer.

### Abstract

This thesis presents work which is concerned with the run-time evolution of component-based software systems. In particular, the main result of the research presented here is a framework which is used to model and control the architecture of a software system. This framework allows the run-time manipulation of the components which make up a software system. The framework makes the architecture of software systems visible, and allows interaction with it, using a reflective meta-object protocol. The motivating objectives of this work are providing a framework to support architectural flexibility, higher-level intervention, safe changes, and architectural visibility in software systems. The framework's behaviour and structure was motivated by a set of case-studies which have been used to guide its development and enhancement. The framework was developed iteratively, using each case-study in turn to evaluate its capabilities and to prompt the direction of development. A detailed set of evaluation criteria are developed, and the framework is evaluated with respect to these. The framework was found to meet each of the four objectives fully, with the exception of the aim to allow only safe changes which is only partly satisfied. Ways in which the framework can be improved in order to more fully satisfy its objectives are suggested, as are other extensions to its behaviour.

EPrint Type: Thesis (PhD)

Subjects: Software > SOFTWARE ENGINEERING (K.6.3) > Management (K.6.3, K.6.4) > Software Architectures (NEW) > Patterns (e.g., client/server, pipeline, blackboard) (NEW)  
Software > SOFTWARE ENGINEERING (K.6.3) > Design Tools and Techniques (REVISED) > Object-oriented design methods (NEW)  
Software > SOFTWARE ENGINEERING (K.6.3) > Management (K.6.3, K.6.4) > Software Architectures (NEW)

ID Code: 30

Deposited By: [Dr Stephen Rank](#)

Deposited On: 10 November 2004

Archive Staff Only: [edit this record](#)

# RAE Support in ePrints

Support for the RAE data collection process is provided by a third-party plugin:

- The current version is the silver release  
<http://irra.eprints.org/software/silver/>
- It allows users to declare their Measures of Esteem (MOE) and select publications for the RAE
- Managers can then download reports on all eligible members of staff.
- The plugin consists of three scripts and database schema extensions
- The tool is at present in beta and will be completed by mid 2006

# Why use a repository for the RAE

- The collection of publications has value beyond that of the RAE, even if only the “four items” are collected
- Since data collection will be expensive:
  - Take steps to reduce cost (self archiving)
  - Ensure that the effort is not “wasted” after the RAE
- Automatic validation. Spreadsheets and other “informal” collection methods cannot do this
- Easier to deal with changes in required data
  - With “informal” methods, data collection will need to restart
  - With a repository, a new query often suffices

# Workflow and Reporting

The RAE tool and ePrints itself allows managers to monitor the progress of data collection

- Identifies problems with paper selections
- Excel export and direct import into RAE web service
- Useful for academic CVs etc that are included in other sites

The default workflow supports:

- Moderation of submissions
- Role assignment for RAE purposes.

Finally, it is possible to extend ePrints to support new ePrint types and additional metadata

# Taking ePrints to a wider audience

The users of the DCI repository are few. The pilot will therefore require more support:

**Education** Users often have legitimate concerns regarding copyright, and practical difficulties with the software.

- Online help can only go so far. Training required!

**Regulation** A *self-archiving policy* should make uploading one's research a duty.

**Facilitation** Upload service for those with a backlog of published work.

- Contingent on a self-archiving policy (Sale 2006)

**Incentivisation** By providing *feedback* through monitoring, contributors can “see” new users of their research.

# Demonstration

A series of short demonstrations will now be performed

- Uploading a new ePrint
  - Selecting items for the RAE
  - Entering RAE measures of esteem
  - Viewing and scoring RAE reports in Excel
-

# ...what about the publishers?

One might expect publishers to be unhappy about Open Access as:

- Publishers follow a “reader pays” model for access.
- Open Access undermines this.

However, the reality is somewhat different:

- Many publishers permit self-archiving of pre and post prints
- They recognise that academics like Open Access
  - Lawsuits etc are counterproductive: do not bite the hand that feeds!
- Publishers are evaluating changes to their business models to permit Open Access.

# ...won't this break copyright?

The simple answer: not if the publishers permit it.

- Many do (see SHERPA/ROMEEO)
- A policy of “don't ask, don't tell” is successfully used by the <http://www.arxiv.org> site.
  - A (comparatively) venerable self-archiving system
  - Has *never* been sued.
- Even if a publisher's policy prevents submission of a full print, even bibliographic data is useful
- The moral argument: consider who pays for the research.
  - If publically funded, arguably the public should have unfettered access to the research.
  - FOI and RAE require access to full text distribution anyway



# Reading Material

- *Repositories and RAE Submission: an Information and Discussion Meeting*  
<http://irra.eprints.org/bcsmeet/>
- *The Berlin Declaration*  
<http://www.zim.mpg.de/openaccess-berlin/berlindeclaration.html>
- *The Key Things To Know, Sale, A (2006)*  
<http://eprints.comp.utas.edu.au:81/archive/00000223/>
- *Maximizing Research Impact Through Institutional and National Open-Access Self-Archiving Mandates*  
Harnad, S (2006)  
<http://eprints.ecs.soton.ac.uk/12093/>

# ePrints/DSpace: Why evaluate both?

The ePrints and DSpace products have many similarities. However:

- ePrints is very focussed, DSpace is flexible
- ePrints requires less setup effort (Sale)
- DSpace is ideal for addressing specialist needs
- A pilot of both is necessary to gain experience
- Better to gain experience now than rush an implementation of either later
- The tools complement one another (Nixon)