

# Self-archiving: It's an author thing

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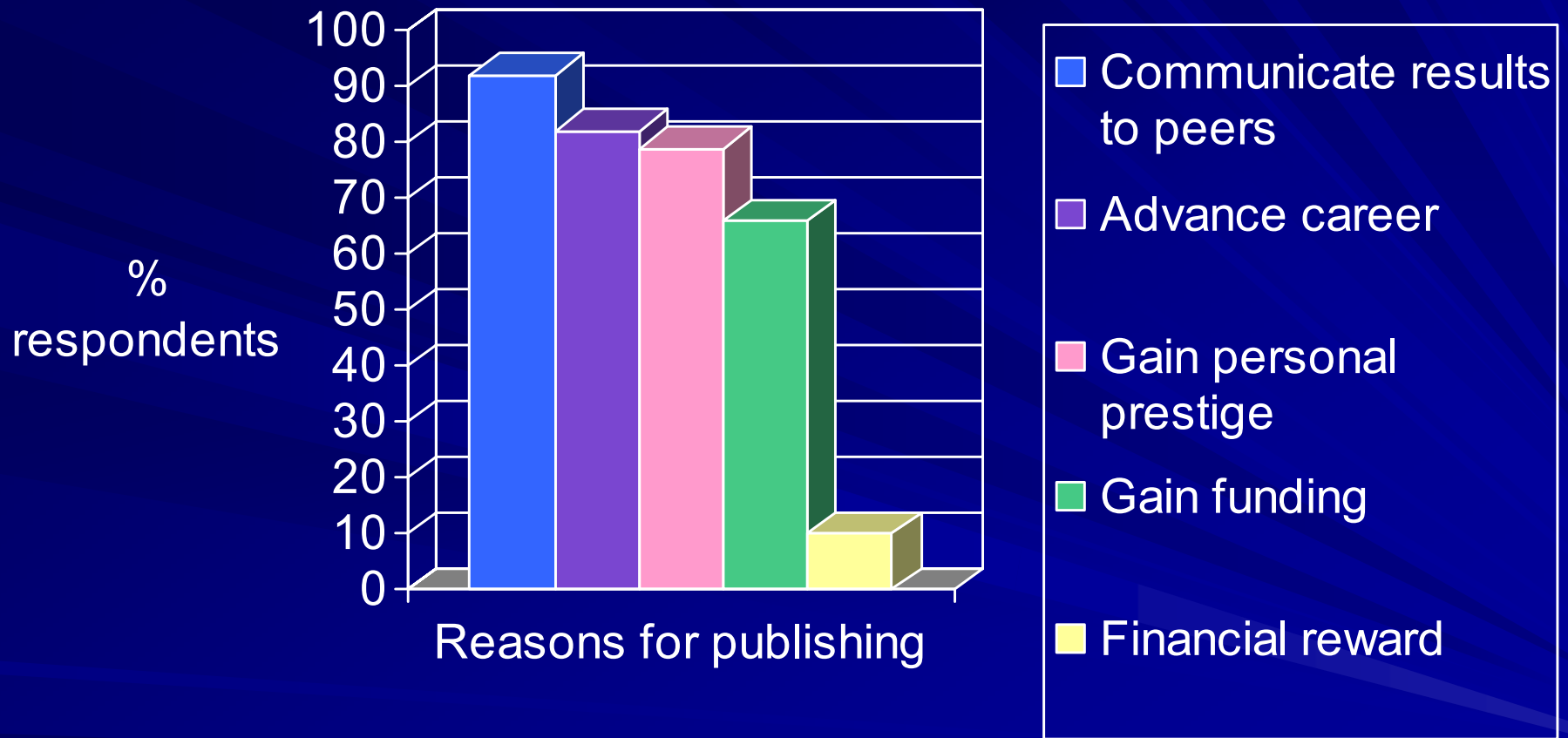
# The UK context

- There are currently 38 institutional archives in the UK
- The amount of peer-reviewed research archived there is very small

- Study on **open access publishing** funded by JISC/OSI (Joint Information Systems Committee/Open Society Institute) (Feb 2004)
- Study on developing a **national UK model for open access archiving** for JISC (July 2004)
- Current study of **author behaviour with respect to self-archiving**
- **Industry developments**

“I publish so as  
not to perish.”

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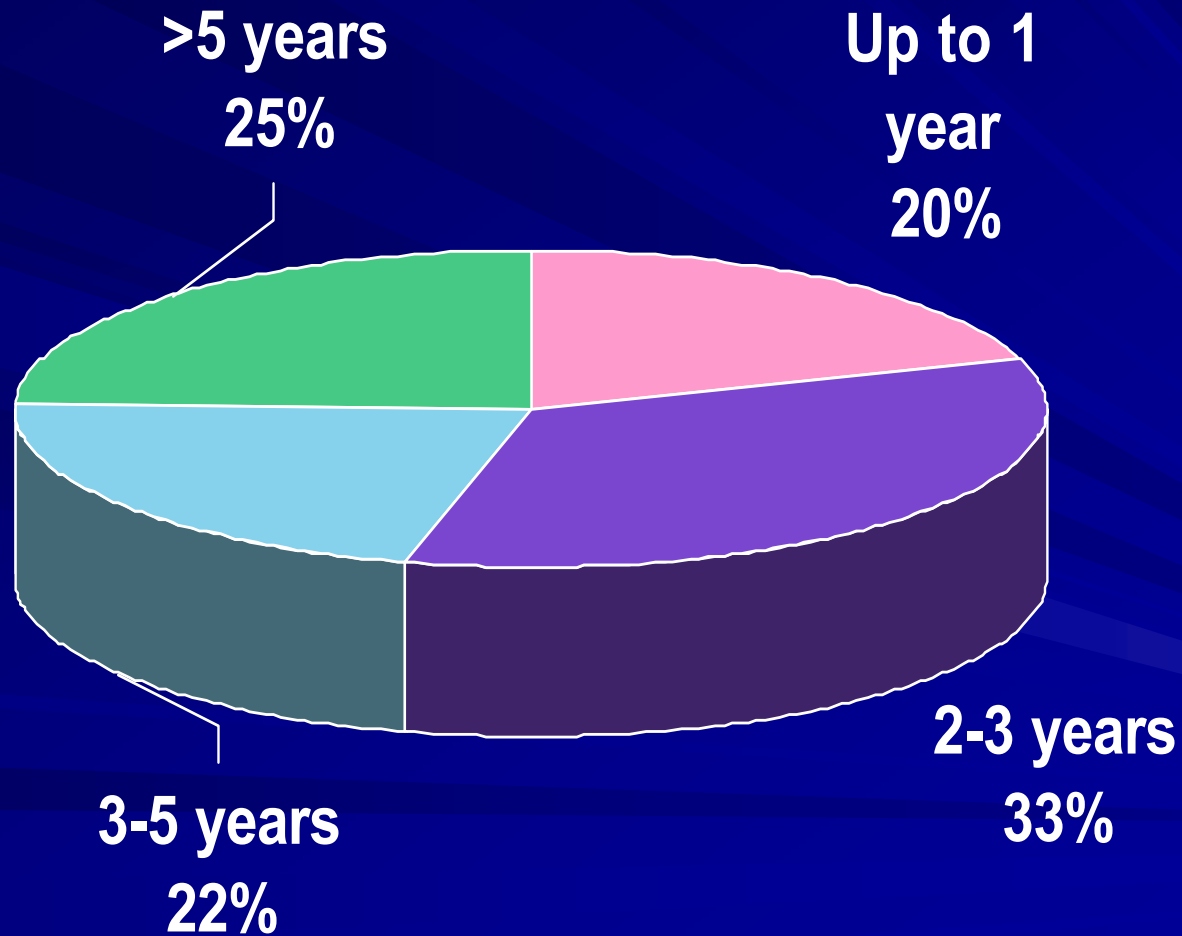
“I'd like my work to be more accessible, but I don't know what else I can do next to providing a copy online and announcing it in my weblog.”

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# How many authors are self-archiving at the moment?

Location	Pre-print	Post-print
Personal web page	16%	26%
Institutional (or departmental) archive	15%	22%
Centralised (subject-based) archive	9%	13%

# For how long have they been doing this?

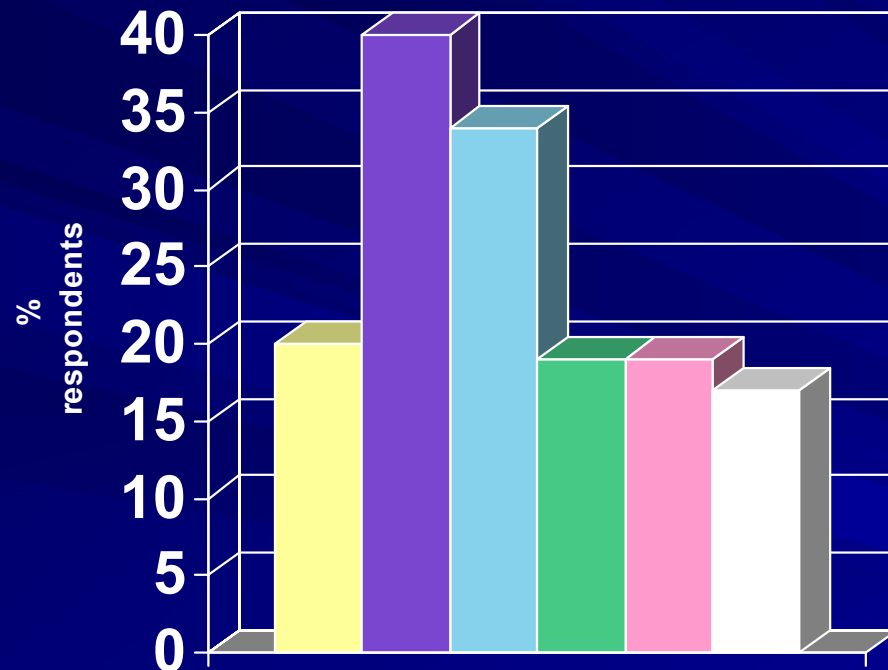


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“I am quite ignorant  
about this topic.”

78% of authors who  
have not self-archived  
are not aware of the  
possibility of providing  
open access to their  
work by self-archiving

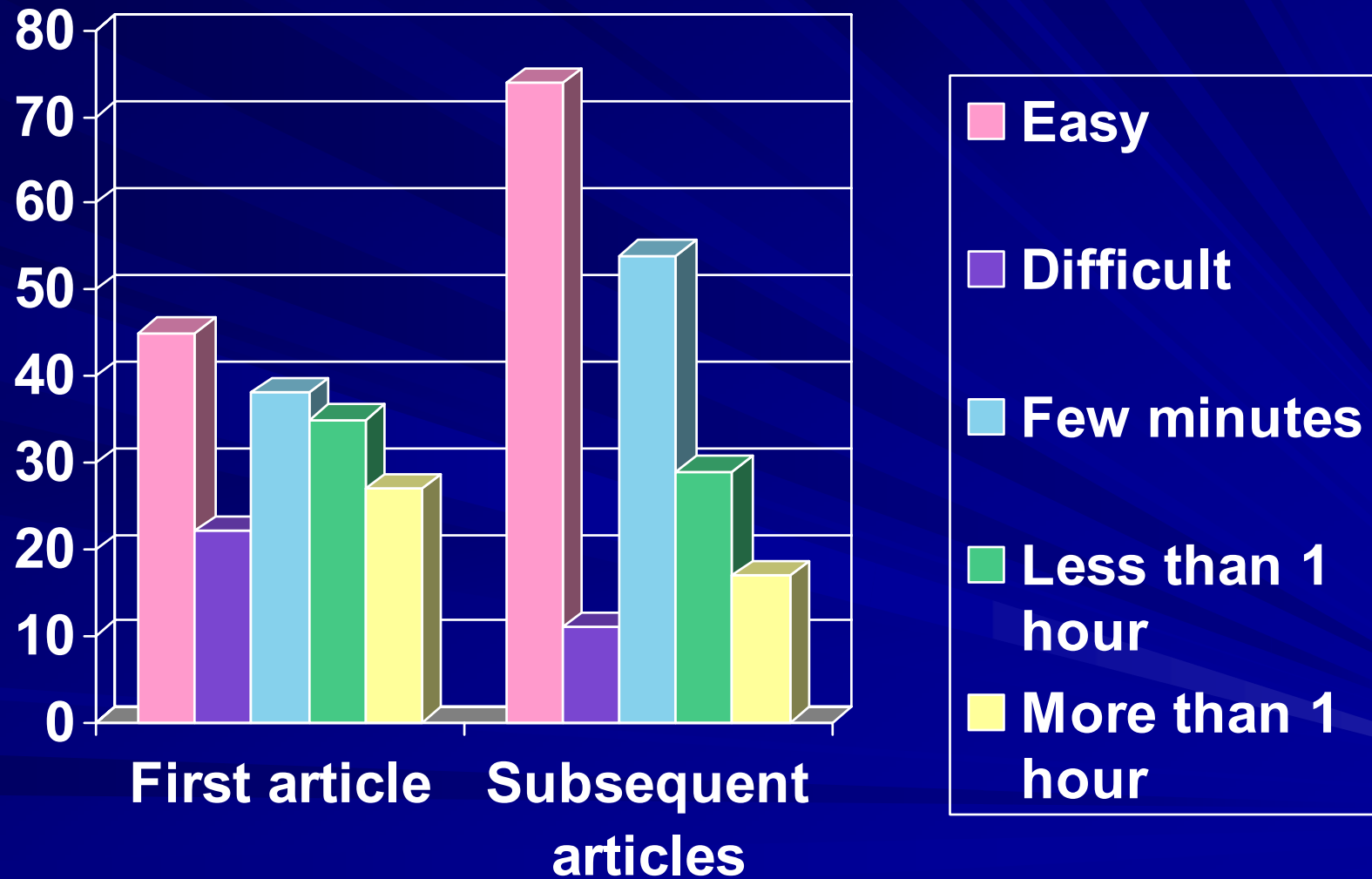
# How did they learn about self-archiving?



- Followed Open Access debate
- From peers
- Information from institution or library
- Work in field with subject-based archives
- From co-authors
- From information from dept or school

“Time does not permit self-archiving ....No staff or other assistance to do that in our university, either.”

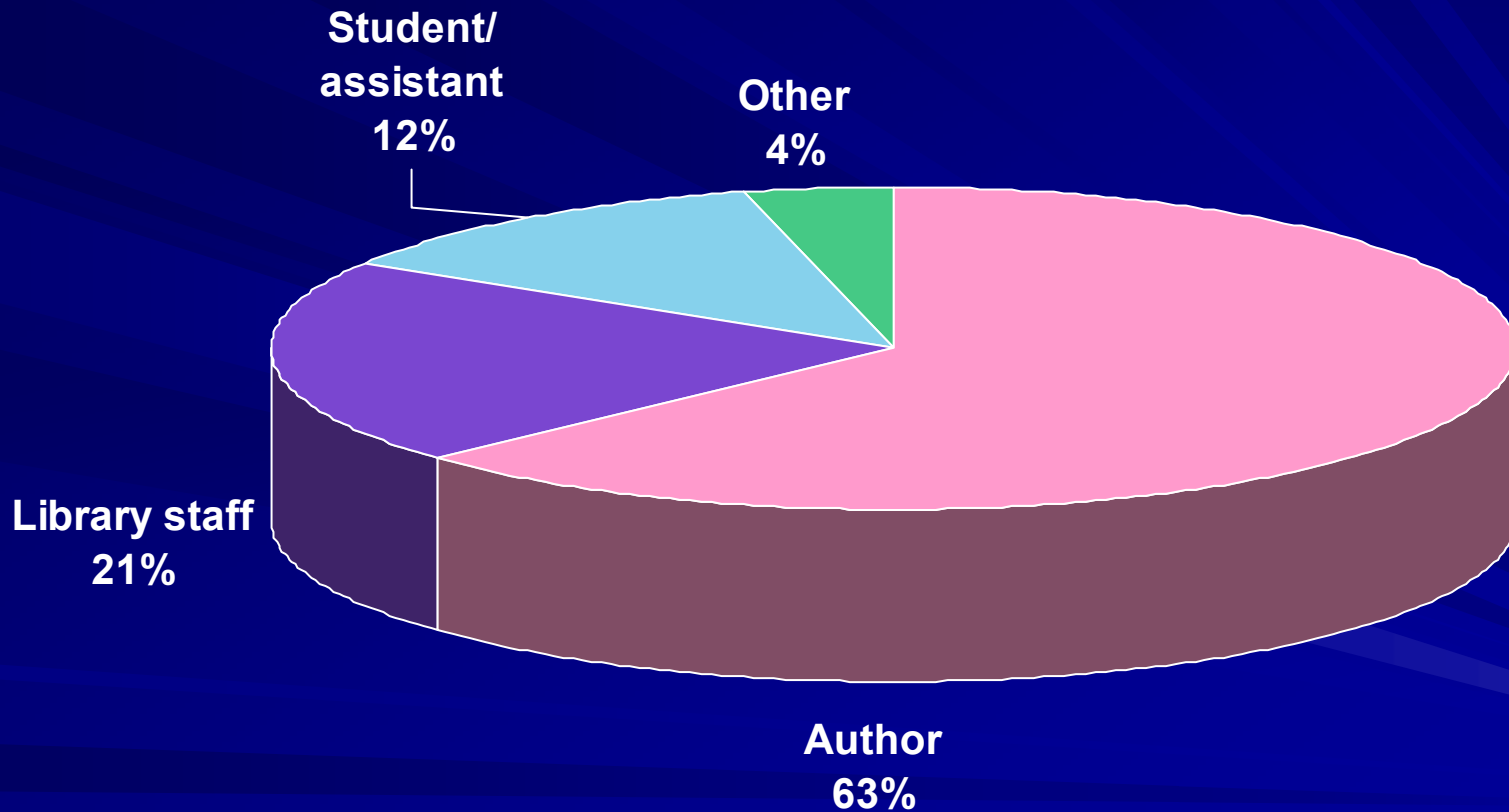
# How easy was it to do?



“I publish a lot by accident ...

... I do joint research and often don't know until after the fact that my collaborators have put my name on a publication”

# Who has done the depositing?



“I wouldn’t have had reservations about open access if I weren’t an editor. There are benefits to the scientific community of societies making money.”

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# arXiv

- In 2003, 116,723 physics articles were published in 421 journals
- arXiv receives 3,500 postings per month (i.e. 42,000 per annum):
  - High energy physics: 800 per month (flat)
  - Condensed matter: 800 per month (growing)
  - Astrophysics: 600-7– per month (flat)

# Learned societies who publish physics research

- American Physical Society
- Institute of Physics Publishing Ltd

# Journals in the areas covered by arXiv

## ■ APS:

- *Physical Review D*
- *Physical review C*
- *Nuclear Physics*

## ■ IOPP:

- *Classical & Quantum Gravity*
- *Journal of High Energy Physics*
- *Journal of Physics G*
- *J. Cosmology & Astroparticle Physics*

“How many subscriptions have you lost as a result of arXiv?”

- APS: “None”
- IOPP: “None”

“How have subscriptions to the titles most affected been going over the last decade?”

- APS: “We have had an overall decline of an average of about 3% a year (less lately) across all our journals since the 1960s.”
- IOPP: “The general attrition slope has not changed.”

# “What do the download figures show?”

- APS: “*Physical Review D* and *Physical Review C* are a bit below the average for our other journals.”
- IOPP: “Download figures [for those journals] are not as high as average, because people are downloading from arXiv.”

APS:

“We don't consider it [arXiv] a threat.

We expect to continue to have a symbiotic relationship with arXiv. As long as peer review is valued by the community (and it seems to be), we will be doing peer review.”

# Other factors that self-archiving will affect

- PDFs
- Impact factor
- Speed of publication

“Self-archiving in the PhilSci Archive has given instant world-wide visibility to my work. As a result, I was invited to submit papers to refereed international conferences/journals and got them accepted.”

# Impact

- Citation rates go up (Brody et al):
  - studied across many different fields, not just the sciences
  - in every field there is evidence of increased citation of articles made OA
  - in some fields this is as much as 3-fold

“This is a very handy way to keep all of one's work together and findable, which helps me as much as anyone else.”

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# So impact yes, and ...

- Secure storage (for completed work and for work-in-progress)
- A location for supporting data that are unpublished
- One-input-many outputs (CVs, publications)

## It also helps institutions

- Standardised online CVs for all researchers (e.g. RAE exercise)
- Permanent record of institution's output
- 'Marketing' tool for universities
- Repository for all digital output from an institution

“It is a requirement of my job.”

“I publish because it is a professional responsibility, and demanded by my employment contract.”

....they need to be TOLD to do it

If your employer or research funder  
**REQUIRED** you to deposit copies of  
your articles in an open archive....

- 79% would comply **WILLINGLY**
- 17% would comply reluctantly
- 4% would not comply

# Mandating self-archiving

UK Government

(NIH)

Wellcome

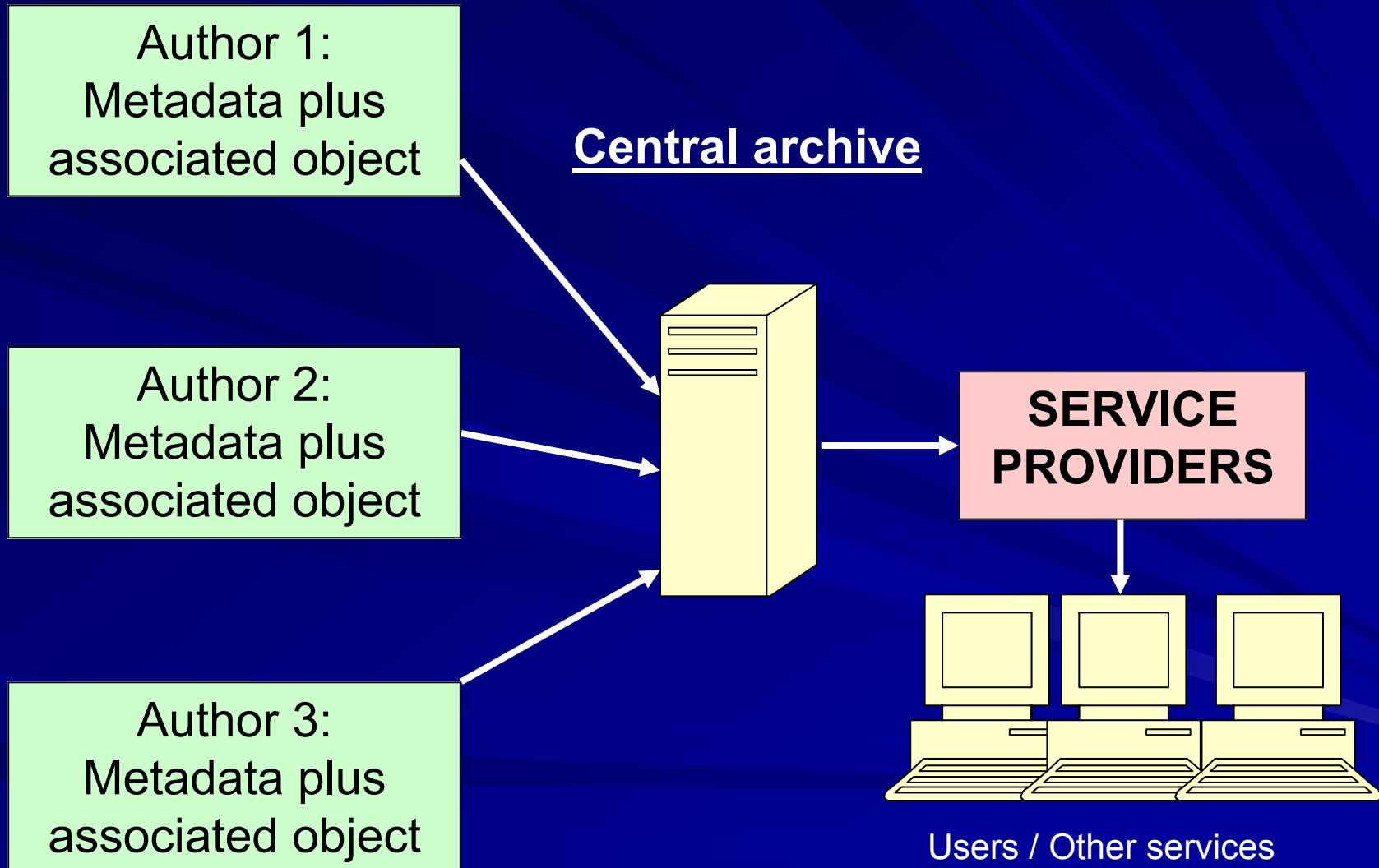
RCUK

Institutions....

An embargo is  
not  
Open Access

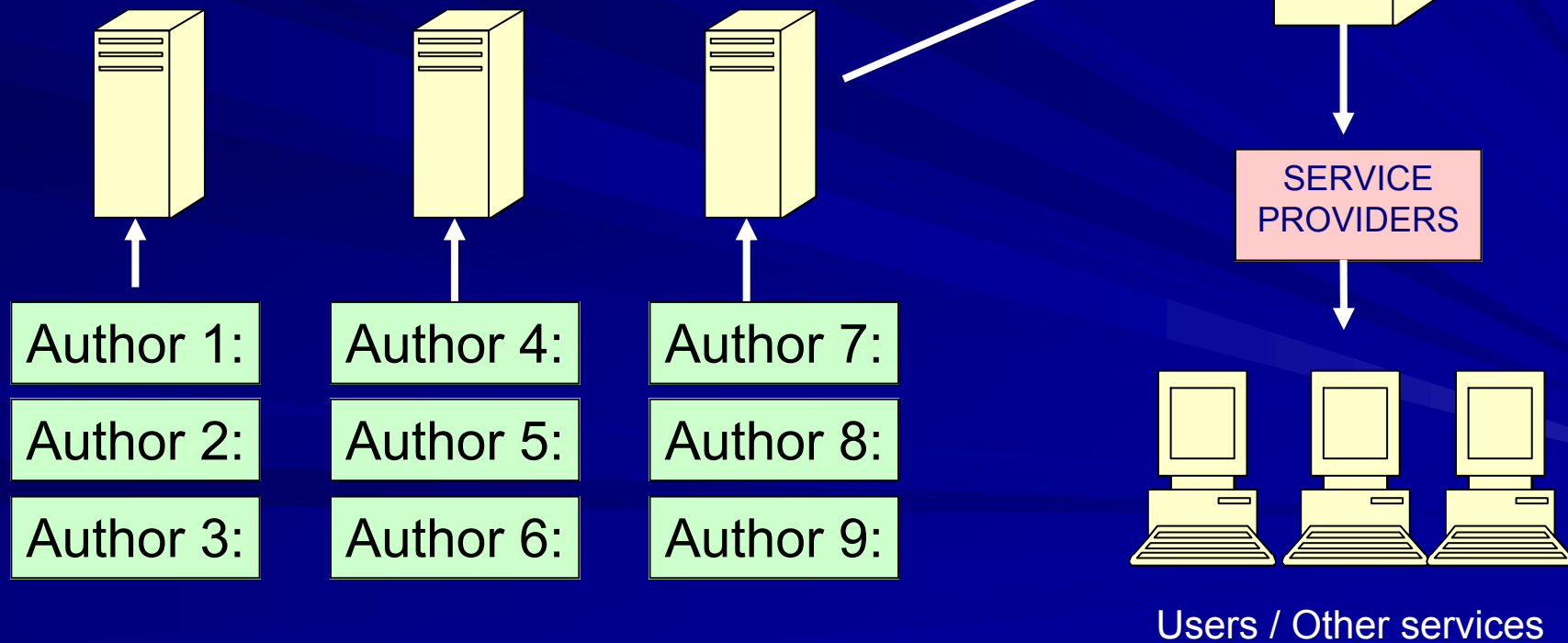
“Like Einstein, Darwin,  
etc, etc, I have no  
funders, assistants.”

# UK National E-prints service: Centralised model



# UK National E-prints service: Harvesting model

- Institutional repositories
- Open access journals
- Subject-based repositories



# Why?

Authors need to be told to self-archive

Who can tell them?

- Funders
- Institutional employers

# How much influence can funders exert?

- City University on behalf of the Wellcome Trust:
  - half a million papers in biomedicine
  - 7 out of 8 carry a proper acknowledgment
  - 35% had no financial acknowledgment
- Physics:
  - 873 papers
  - 93% carried an acknowledgment
  - 31% had no financial acknowledgment

“What amazes me is the variability across disciplines. My partner does religious studies and they have no idea about self-archiving.”

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“Also your question about citation rates is not worthy of respect....

.... Mendel had zero citations for several decades. Likewise Boltzmann, etc etc ....

.... It is merely a measure of fashionable conforming and backscratching.”



## UTasER statistics

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Repository-wide statistics: [\[by Year/month\]](#) [\[by Country\]](#)

#### Abstract views and document downloads for past 4 weeks

	Abstracts	Downloads
Views	0	15

#### Views by country (derived from IP address of query) for past 4 weeks

Country	Abstracts	Downloads
Australia	0	5
Turkey	0	3
United States	0	3
Japan	0	3
Saudi Arabia	0	1

#### History of views for this ePrint

Period	Abstracts	Downloads
<a href="#">2005 Jan</a>	0	15
<a href="#">2004 Dec</a>	3	0
<a href="#">2004 Nov</a>	5	1
<a href="#">2004 Oct</a>	4	1

# Action points

- Build an archive
- Tell them how to deposit (do it for them if necessary)
- Advocate: tell authors the advantages
- Reassure: the consequences are not diabolical!
- Mandate

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- Developing a model for e-prints and open access journal content for UK higher and further education. *Learned Publishing*, 2005, **18 (1)**, 25-40.

[www.keyperspectives.co.uk/OpenAccessArchive/Eprints\\_LP\\_paper.pdf](http://www.keyperspectives.co.uk/OpenAccessArchive/Eprints_LP_paper.pdf)

- Delivery, management and access model for E-prints and open access journals within further and higher education. 2004 (Report of a JISC study). pp 1-121.

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- Report of the JISC/OSI journal authors survey. pp 1-76.

[www.jisc.ac.uk/uploaded\\_documents/JISCOAreport1.pdf](http://www.jisc.ac.uk/uploaded_documents/JISCOAreport1.pdf)