RoMEO Green at the University of Kansas: An experiment to encourage interest and participation among faculty and jumpstart populating the KU ScholarWorks Repository

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Universities around the world are beginning to develop digital repositories in order to offer new methods for the distribution and preservation of the intellectual output of their faculty. The University of Kansas (KU) is among these universities and is exploring ways to provide better access to and preservation of published and unpublished scholarly research created by KU faculty. The University's institutional repository, KU ScholarWorks (http://kuscholarworks.ku.edu/), entered into production in October 2004 with participation from selected departments and research centers and opened to all faculty early in 2005.

While the expectation is that faculty will self-archive their submissions through a departmental community structure, we initiated a project, *RoMEO Green*, to explore other staff-mediated options for content recruitment. This paper will address the steps taken thus far to populate the repository through this alternative process, the data collection methods, and early findings during the data analysis phase. We will discuss possible implications of these results for future directions of this project and for the larger mission of KU ScholarWorks. Project findings may be of interest to institutions considering different models for populating institutional repositories.

Introduction

The crisis in scholarly communication can be seen as a crisis of opportunity, the birth pangs of a new or maturing global system that allows for the widest possible distribution and preservation of scholarly output from around the world. This crisis of growth has fostered a variety of complementary services and systems to feed into the distribution and consumption of scholarly information. These new systems and services solve certain problems that have arisen with the advent of technologies that allow for easy distribution even as the market forces place greater restrictions on access.

One such service is the academic or "institutional" digital repository that serves as a dissemination and preservation tool for the wide range of scholarly works produced by faculty. These institutional repositories have become part of a system of scholarly communication that includes faculty, librarians, and publishers (Crow, 2002; Lynch, 2003). As Clifford Lynch explains, institutional repositories are "vehicles to advance, support, and legitimize a much broader spectrum of new scholarly communication" (Lynch, 2003).

The University of Kansas (KU) is exploring ways to provide better access to and preservation of published and unpublished scholarly research created by KU faculty. KU ScholarWorks, the University's institutional repository, entered into production in October 2004 with participation from selected departments and research centers; it opened to all faculty early in 2005. While the expectation is that faculty will contribute their own submissions, having the content available in the repository and available as soon as possible is important in order to attract future submissions. Departments will be more likely to join as communities if faculty can see content already in the repository, especially "blue-chip" content that has been vetted through the peer-review process.

KU is investigating ways to lower the barriers for faculty participation in its digital repository. Such barriers to faculty adoption of institutional repositories include their uncertainty about what constitutes pre-publication, and the consequences thereof for promotion and tenure. Complex copyright clearance issues are also a deterrent to author self-archiving. Further, writing articles for publication is often the last stage in the research cycle, and depositing articles in a digital repository is just one more step for busy faculty.

KU ScholarWorks will fill its role as an institutional repository when its contents are representative of the vast research output from the many disciplines at KU. Therefore, we have initiated a project, *RoMEO Green*, to

explore options for content recruitment. This paper will address the steps taken thus far in the project to populate the repository, discuss results to date and possible implications of these results on future directions, and will consider these results in light of the mediated versus self-archiving models.

The original *Project RoMEO* was a program of the Joint Information Systems Committee (JISC), which investigated the copyrights issues surrounding the self-archiving of research in the UK academic community (http://www.lboro.ac.uk/departments/ls/disresearch/romeo/). The rights issues included copyright transfer from author to publisher, author rights to reprints, author permissions to publish third-party materials, multiple authors across institutions, and works-for-hire. Traditionally, authors transfer copyright or assign an exclusive distribution license to publishers as part of the publication process. However, publishers are increasingly granting authors limited rights to distribute copies of published articles when certain conditions are met. *Project RoMEO* assigned colors to publishers to indicate their level of commitment to self-archiving. Publishers allowing some form of preprint and post-print archiving were assigned the color green. Thus, the University of Kansas' project is called *RoMEO Green*.

The goals of *RoMEO Green* are to: add content to KU ScholarWorks; explore services we might offer faculty in support of KU ScholarWorks; and create interest in, and demand for, an institutional repository at the University of Kansas. We have identified some project outcomes of interest to other institutions that have or are thinking of implementing an institutional repository. These include:

- Possible methods to populate university repositories besides faculty self-archiving in school- or department-administered communities;
- Staff and resource commitments needed to utilize these methods;
- Successes and impacts of these methods to populate the institutional repository (improvement of practice)

Method

We developed a method to find the citations of KU faculty published in journals that allow some form of self-archiving, and then asked those faculty for permission to post, on their behalf, those articles into KU ScholarWorks. Drawing on the University of Glasgow's work (Mackie, 2004), we developed a multi-phase approach to accomplish this.

First, we constructed a Microsoft Access database with linked tables for publisher, journal, faculty, and citation information. The database includes information about seventy-two publishers that allow some form of institutional archiving of articles published in their journals. We initially identified these publishers based on information found on the Sherpa site (http://www.sherpa.ac.uk/romeo.php). We assigned priority numbers to the publishers based on their institutional archiving policy; e.g., the most open publishers were given a priority number of one (1), and the most restrictive publisher policies were assigned a five (5) (see Table 1).

Next, we added the RoMEO "green" journal titles for the seventy-two publishers to the database. We supplemented the list of journals found on the *Self Archiving Policy by Journal* created by *Project RoMEO* (http://romeo.eprints.org/) with journals titles from the publisher web sites. A student assistant prepared journal title lists and conducted searches in an online multidisciplinary citation index, searching for articles authored by persons affiliated with the University of Kansas and published in "green" journals during the years 1984-2004. The citations were imported into the Access database. We received a report of all current faculty from the University's administrative system, and then included the names and departmental affiliations in the database. Reports were generated for each faculty author with their article citations grouped according to archiving policy. The reports were sent via email with a request for the correct versions needed to post, as well as permission to do so. In the first phase of the project, we identified the citations of KU faculty who had published in journals that place no restrictions on institutional archiving of the published version of articles. We then forwarded the reports to faculty and asked permission to post those articles in KU ScholarWorks. There were 19 faculty with such publications, and our requests resulted in the submission of 17 articles to KU ScholarWorks.

Table 1: RoMEO Green Priority Numbers, with number of publishers in each, as of October 2004

Priority	Policy	# Publishers	# Journal Titles
1	No restrictions	1	163
2	Allow or require publisher PDF	10	92
3	Allow posting of final reviewed version	44	5401
4	Posting requires written permission of publisher	12	846
5	Posting allowed if copyright not transferred to publisher	1	14
6	SHERPA Yellow: preprint only	4	1323

The second phase involved contacting by email the remaining faculty who had published in journals whose more restrictive policies required the preprint, "author final draft," or written permission of the publisher. Over a six-week period, 481 (32%) of current faculty received email as part of the project.

Findings and Implications

To date, faculty who have responded to our email have been overwhelmingly receptive to the project and willing to contribute their scholarship to the repository. They responded at a surprisingly high rate; over one quarter of the 481 faculty who received an email as part of the project replied. Seventy-eight percent (101) of the responding faculty did so favorably, either by indicating their permission to contact publishers or by providing articles directly, although they did not always supply the correct versions of the papers needed. Of the 481 faculty emailed, only six people indicated they did not wish to participate. Forty-seven faculty, or almost ten percent of those contacted, have contributed one or more articles as a result of the project. Those faculty represent twenty academic disciplines. Figure 1 shows a more detailed presentation of faculty responses.

Faculty Responses

60 – Correct version of articles and/or OK to request from publisher
42 – Responded affirmatively, but provided incorrect version of article(s)
 7 – Requested more information
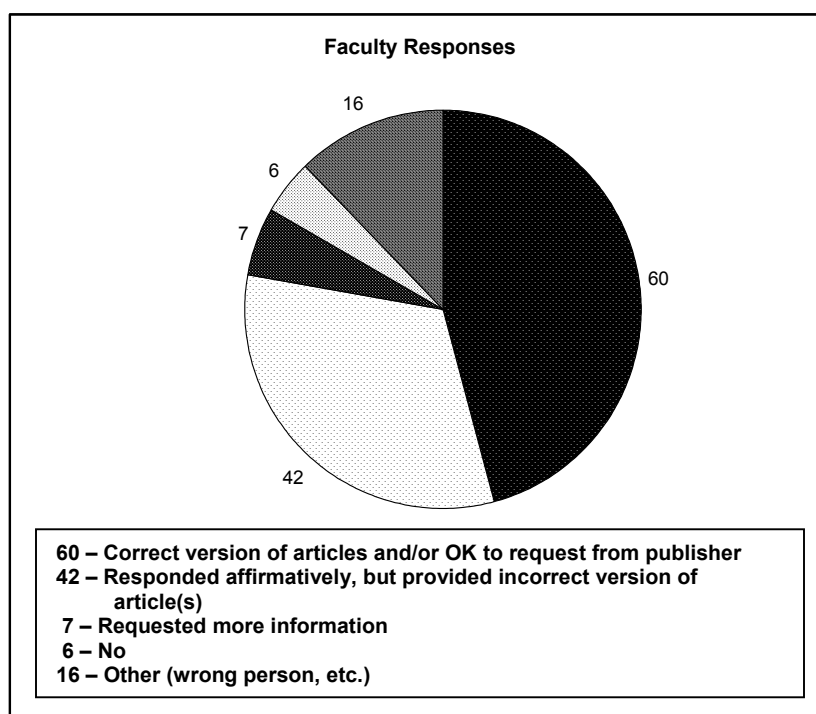 6 – No
16 – Other (wrong person, etc.)

Figure 1: Faculty Responses to *RoMEO Green* email

Eighty-seven, or just fewer than four percent of the 2210 articles requested were actually submitted to KU ScholarWorks. However the impact of *RoMEO Green* is reflected not only by the number of articles deposited in the repository, but also in the number of faculty who learned about KU ScholarWorks as a result of the project.

A brief look at RoMEO Green project costs might help address concerns other institutions have as they consider the staff-mediated model for populating their institutional repositories. Based on the time two library faculty and one student assistant devoted to the project, each *RoMEO Green* submission took 6.3 hours. This number was calculated from the number of student hours expended from the time the first data was gathered on publisher policies to the time a KU faculty member's paper was posted into KU ScholarWorks, divided by the number of papers posted the repository.

In terms of student labor (approximately 430 hours total), the cost per article submission was approximately $32. This figure does not take into consideration the costs to operate the KU ScholarWorks service; it represents only the time a student assistant worked for *RoMEO Green*. Many staff devoted time to the development, support, and outreach needed to implement KU ScholarWorks. The most time-consuming, and therefore most costly, portion of this project was the initial gathering of publisher and journal data.

 The project aided faculty in identifying for deposit suitable published articles in KU ScholarWorks, and has raised awareness of some of the issues surrounding self-archiving in institutional repositories. *RoMEO Green* is one of several methods employed at the University to start conversations with individual faculty and departments about the university's digital repository. It has become a means to educate faculty on issues of scholarly communication, open access, copyright transfer issues, and the implications of their publishing habits as individual creators and consumers of scholarship. Departments act collectively to disseminate their scholarship, often through departmental websites; *RoMEO Green* has increased interest in a more centralized repository for dissemination and preservation. Thus, *RoMEO Green* has successfully served to jumpstart the population of KU ScholarWorks.

In the next phase of *RoMEO Green,* we will continue the ongoing assessment of the project outcomes, so that other institutions can learn from our experience. We will also assess the services needed to support faculty in their use of the repository. Further analysis of the data collected may indicate patterns and trends in KU faculty publishing behavior.

KU ScholarWorks contains published and unpublished scholarly work deposited through author self-archiving as well as a mediated submissions process. The project has thus played a role in the future development of KU ScholarWorks and the services and staffing needed to support it. It may also provide a better understanding of how to influence publishing faculty's behavior to better support a diversified and future-oriented scholarly communication system.

References

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