ALISS Quarterly

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Open Access and Institutional Repositories

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EDITORIAL

Heather Dawson
h.dawson@lse.ac.uk

Welcome to the first edition of ALISS Quarterly. It has been published by ALISS (Association of Librarians and Information Professionals in the Social Sciences) .

This is a new independent group which was formed in April 2005 by the former committee of ASSIGN (Aslib Social Science Information Group and Network).

The purpose of the new group is to:

- Provide opportunities for networking and self-development
- Offer a forum for communication
- Create a network of cooperation and a forum for discussion about emerging issues in social science librarianship.

Membership (£20 per annum for individuals/ £35 corporate) includes a subscription to this title. It replaces the former publication ASSIGNation.

The new journal aims to build upon the success of its predecessor by publishing topical and informative articles on issues of relevance to Uk and international information workers. This will include material relating to social science libraries, information resources and projects as well as a strong focus on teaching and learning issues, including coverage of Information literacy and elearning initiatives.

For further details on the operation and services offered by ALISS consult our web site at *http://www.lse.ac.uk/library/other_sites/aliss*

Note that during the first year of operation 2005/6, the group will be lead by an interim committee comprising Dr. Jane Secker (LSE Centre for Learning Technology – Chair) Jennie Grimshaw (British Library – Treasurer) Heather Dawson (LSE Library – Secretary) who will be establishing a raft of new and expanded services for members. These will include members events such as library tours and conferences.

Indeed this special issue is devoted to coverage of our first one-day event on Open Access and Institutional Repositories which was held on 26th July 2005 at the British Library. The presentation slides from that day can now be viewed online at: *http://www.lse.ac.uk/library/other_sites/aliss/26july2005.html*. This issue

contains articles from the participants which expand and update them. It begins with a personal introduction to the issues from Douglas Brown which highlights key organizations and reports and then proceeds with practical project updates from the LSE and University of Southampton Tardis Project . Also available are two very informative papers from the Daedalus Project and JISC/SURF which focus on the topical issue of repositories and copyright and an update from the SPARC Europe campaign. In addition, this issue also contains articles on a number of other new collaborations: the White Rose Consortium, WM Share (which is a West Midlands project focusing specifically on teaching and learning materials) and the ETHOS project which relates to electronic access to theses. The issue concludes with our usual section on teaching and learning issues which this time contains a report on new research into the use of information literacy tutorials by Cranfield University and some practical suggestions of web resources that can be successfully used in Library induction and training sessions.

Remember that you can keep up to date with ALISS news by subscribing to our free electronic mailing list LIS_SOCIAL SCIENCE at *http://www.jiscmail.ac.uk/lists/LIS-SOCIALSCIENCE.html*

And consulting our web site at *http://www.lse.ac.uk/library/other_sites/aliss/*

We hope you enjoy the issue!

Heather Dawson.

ALISS Secretary
h.dawson@lse.ac.uk

A VELVET REVOLUTION IN SCHOLARLY COMMUNICATION?

Douglas Brown, Editor, Library and Information Science Abstracts (LISA)
dbrown@csa.com

A New Age

A recent report from the US National Science Foundation's Advisory Panel on Cyberinfrastructure suggested that 'a new age has dawned in scientific and engineering research.' (1) The panel elaborated:

The amounts of calculation and the quantities of information that can be stored, transmitted, and used are exploding at a stunning, almost disruptive rate. Vast improvements in raw computing power, storage capacity, algorithms, and networking capabilities have led to fundamental scientific discoveries inspired by a new generation of computational models… Powerful 'data mining' techniques operating across huge sets of multi-dimensional data open new approaches to discovery. Global networks can link all these together and support more interactivity and broader collaboration.

The report noted that the rise of data-intensive, intensively collaborative research was being accompanied by changing practices in scholarly communication:

The traditional, linear, batch processing approach is changing to a process of continuous refinement as scholars write, review, annotate, and revise in near real-time using the Internet.

e-Science

In the UK, Research Councils UK have defined 'e-Science' as:

the large scale science that will increasingly be carried out through distributed global collaborations enabled by the Internet…such collaborative scientific enterprises… will require access to very large data collections, very large scale computing resources and high performance visualization. (2)

Underpinning research will be 'The Grid', a group of technologies which will allow for very large scale distributed data computation and storage, and will enable flexible and coordinated resource sharing and problem solving. Test-bed experiments include GridPP (www.gridpp.ac.uk), led by the University of

Glasgow, which will attempt to analyse enormous amounts of data produced by the particle research laboratory CERN in its 2007 investigation into the nature of matter.

New Visions

In combination with long-standing economic pressures, this mega-trend is now feeding in to calls for fundamental reform of the formal scholarly communication system. Herbert Van de Sompel of Los Alamos National Laboratory has presented a case for a 'natively digital' system which would 'disaggregate' the traditional functions of scholarly publishing (registration, certification, awareness, archiving, reward) and create a record that would aim at more closely capturing 'the dynamics of scholarship.' (3) Simeon Warner of Cornell has suggested that a proper record can no longer regard datasets, 'rich media' or software as supplementary materials or 'add-ons'. With Van de Sompel, he proposes that the traditional journal article should be extended into a new communicative unit, 'complex documents', where the (now often extremely large) dataset is referenced and seamlessly available to the reader, with the provenance of each component of the extended document being recorded and the integrity of each 'ensured and verifiable'. (4)

After Ginsparg

These writers consciously attempt to broaden discussion about Open Access, beyond questions about the economics of electronic publication. They are inspired by the success of Paul Ginsparg's groundbreaking, physics-centred e-print server, now located at Cornell and known as arXiv, which has now become the primary resource for literature in medium and high energy physics (310,000 submissions at March 2005).

arXiv now holds many refereed 'post-prints', but the initial idea was to accept unrefereed 'pre-prints', around which the Open Access debate originally sprang up.

High energy physics enjoys a highly collaborative, communitarian pre-publication culture, where findings are informally circulated or presented at conferences, and theses and working papers are subjected to rigorous internal review and external critique before submission for formal peer review. It is not unusual for collaborations to involve over a hundred souls. (5) One of the pioneers of Open Access, Stevan Harnad, has always taken the view that scientific enquiry is an ongoing process of continuous refinement, enormously facilitated by the Web environment, with the 'pre-publication continuum' by far the most interesting phase. (6)

Institutional Repositories

Harnad is now the leading advocate of supplementary self-archiving (or more

strictly, self-deposition) of research in institutionally-based e-print repositories, which have proliferated following the Open Archives Initiative Protocol for Metadata Harvesting (2001) and particularly since the release of the enabling open source software DSpace from MIT/Hewlett Packard in November 2002. Harnad has emphasized that the institutional approach allows both researchers and their institutions to enjoy benefits of the impact of research. Clifford Lynch has suggested that institutional repositories offer universities the potential to revolutionize scholarly communication by actively providing 'a comprehensive dissemination and preservation mechanism for the data that supports the new scholarship for the digital world.' (7)

Towards Digital Curation

Lynch stresses universities' potential 'stewardship' role, but a repository should be distinguished from an archive, and many who support repositories as a route to Open Access have placed the urgent need to 'populate' them through advocacy and culture change, and more recently through campaigning for mandatory self-archiving, over immediate concern with long term preservation. Experiences of technological obsolescence with early multimedia applications like the BBC Domesday Project suggest, however, that latecoming to digital preservation can be very costly indeed, and that active management decisions about preservation should be made on a life-cycle model from the moment of creation. (8)

These complex issues are now being discussed worldwide, and investigated in the UK by JISC-supported initiatives on data curation for e-science and the recently established Digital Curation Centre, led by the University of Edinburgh. (9) A strand of SHERPA (Securing a Hybrid Environment for Research Preservation and Access) led by Stephen Pinfield of the University of Nottingham has been collaborating with the Arts and Humanities Data Service to develop a preservation environment based on the digital preservation standard Open Archival Information System (OAIS) Reference Model, originally created by NASA. Repositories are already being used to house a vast range of materials, including datasets, learning objects, presentations, technical reports, theses, video, sound files, images, teaching materials, and administrative and numerical data. Pinfield has noted that beyond the preservation of e-prints, as scholars begin to include multimedia and dynamic content, the preservation task becomes considerably more difficult. (10)

New Forms?

Surveying the shifting landscape around self-archiving, Blaise Cronin has predicted that cultural differences among disciplines will persist and combine with technological innovation and plenitude to discourage the emergence of any unified model of scholarly communication, and eventually encourage 'a much more heterogeneous and dynamic publishing ecosystem' than in the past, from

which 'new hybrids' will evolve. (11) For Lynch, the most exciting possibility is that change will be facilitated:

not so much in the existing system of scholarly publishing, but by opening up entire new forms of scholarly communication that will need to be legitimized and nurtured with guarantees of both short- and long-term accessibility. (12)

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Disclaimer and acknowledgement

OPEN ACCESS: THE FUTURE OF SCHOLARLY COMMUNICATION?

David C. Prosser, SPARC Europe, Oxford University Library Services, Osney One Building, Osney Mead, Oxford, OX2 0EW, UK

david.prosser@bodley.ox.ac.uk

The introduction of the Internet in the 1990s brought a number of changes to the way in which scholarly literature is accessed and used. Reading patterns have changed as researchers can now access the literature from their desks, rather than having to go to the library. However, there are often subscription barriers between the research and the reader, so reducing the benefits of the move online. While many thousands of word have been written on the 'serials crisis' and its causes, it basically represents a gap between the proportion of the literature that libraries can access and the information that researchers need to be effective. This gap has widened as the annual rises in average subscription price for journals have outstripped increases in library budgets. Libraries have transferred an ever increasing proportion of their budgets to spending on journals, but few institutions worldwide have been able to keep pace with price rises.

This information gap has resulted in widespread dissatisfaction with the current scholarly communication model. Authors want to put their work before their peers and before society as a whole, and they do this without any expectation of direct financial reward, e.g. from royalties. In return for donating their papers (together with the surrender of their copyright), the current system places barriers between authors' work and their potential readers, so resulting in reduced dissemination and impact of their work.

Readers are dissatisfied as they cannot get access to all the research that they need. The research literature is the most potent research tool available. The current system denies access to the complete body of the literature, so making the tool much less powerful and reducing the effectiveness of researchers. Librarians are dissatisfied as they are not able to meet the research needs of their users (both researchers and students). Finally, society as a whole loses if we continue with sub-optimal communications channels that restrict the free-flow of information between the world's scholars and the public.

As a result of these problems, many have looked at the continued development of the internet and new electronic publishing tools and have asked whether there might be new technical and financial models that better fulfil the functions of journals and better serve authors, readers, and, ultimately, research?

Open access would give free and unrestricted access through the Internet to all primary literature published within peer-reviewed journals. Making it freely available immediately distributes it to the 650 million people worldwide who have Internet access. This will accelerate research, enrich education, share learning among rich and poor nations, and, ultimately, enhance return on investment in research (much of which come from the world's taxpayers). From being in a position where institutions cannot supply all the information need of researcher, researchers will be able to access all of the relevant information they need to be effective

Open access also provides major benefits for authors. Rather than their paper being seen by readers at the few hundred institutions lucky enough to have a subscription to the journal, the paper can now be seen by all interested readers. By being free and open the dissemination and impact of the papers increases. This increases the profile of the authors, their institutions, and their countries.

There are two parallel and complementary strategies for open access which could move us towards a fairer, more equitable, and more efficient communications system: self-archiving and open-access journals. [1]

Self-archiving refers to the right of scholars to deposit their refereed journal articles in searchable and free electronic archives ('institutional repositories'). Repositories will provide a central archive for each researcher's work and increases the institution's visibility and prestige by bringing together the full range and extent of that institution's research interests.

At least four open source software packages exist for setting up and implementing institutional repositories [2], with over 400 repositories already having been set-up worldwide. In the UK we have seen the SHERPA project provide support for repositories. [3]

Open access journals do not charge for access to the papers, but make the papers available to all electronically and look to other financial models to cover the costs of peer-review and publishing. They do not invoke copyright or exclusive licenses to restrict access to the papers published within them, rather they encourage the dissemination of research limited only by the reach of the internet. The number of open access journal publishing high quality, peer reviewed research is growing. Lund University has compiled the Directory of Open Access Journals (DOAJ) listing over 1750 fully peer-reviewed journals that place no financial barriers between the papers published online and readers. [4] One feature of the DOAJ is that records for each journal listed can be easily downloaded by librarians and entered into their catalogues, thereby allowing readers to learn about the journals.

The combination of open access repositories and journals gives the model of a fair and efficient mechanism for scholarly communications. All research material is made freely available in a worldwide network of fully searchable repositories. A sub-section of the material in the repositories – peer reviewed papers – receives a certification 'quality stamp' from journals. This process is financed by the authors' institutions and funding bodies, rather than through the readers' libraries, so allowing free access to all interested readers to all peer-reviewed papers.

The funding bodies that pay for research are increasingly supporting open access (in the form of both self-archiving and open access journals). Funders in the US, Germany, Italy, and France (amongst others) have all announced open access policies. Here in the UK, the Research Councils have issued a draft policy that would require grant holders to deposit their journal and conference papers in a suitable institutional or discipline-based repository as soon as possible after publication, provided that there are no copyright and licensing restrictions and a suitable repository exists. The Research Councils will also include in grants funds to cover publication charges for open access journals. [5]

There is growing international momentum in favour of institutional repositories and open access journals. Increasing numbers of libraries are taking on role of hosts for institutional repositories, becoming responsible for maintaining the intellectual heritage of their institution. Growing numbers of open access journals are attracting high profile editors and quality papers from excellent authors. These papers are viewed by more and more readers, increasing the impact and visibility of the journals. In addition, the continued success of these open access journals is proving the feasibility of the new business models.

As issues surrounding institutional repositories and open access journals become more widely discussed there is increasing awareness amongst authors of their need to retain their publishing rights. There is also increasing awareness of Editors and Editorial Board members of their power and responsibilities to engage their publishers in discussions regarding fairer publishing practices. As described above, there has been a burgeoning of interest internationally in publishing issues amongst funding bodies and at the political level.

Over the next few years all players in the communication process can play a part in making change happen. In particular, librarians can establish institutional repositories and help researchers archive their research papers. They should engage with University administrators and funding bodies to raise the issue of open access

We can see how by harnessing the power of the Internet we can construct a system of scholarly communication that better serves authors (by giving them

the wide dissemination they require) and readers (by removing access barriers to the information they need). This in turn will enhance research and education worldwide and bring great benefits to society. Obviously, any attempt to change such a well embedded system with large degrees of inertia will be difficult. However, the advantages of the new model are immense. By working together we have already made many great strides towards the new system and by continuing to work together we can achieve it.

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3. SHERPA – *http://www.sherpa.ac.uk/*
4. *http://www.doaj.org*
5. *http://www.rcuk.ac.uk/access/index.asp*
6. See, for example, Create Change(www.createchange.org)

TARDIS : FROM PROJECT TO EMBEDDED INSTITUTIONAL REPOSITORY

Pauline Simpson, ps@noc.soton.ac.uk, National Oceanography Centre, Southampton

Jessie M.N. Hey, jmnh@ecs.soton.ac.uk, University of Southampton Libraries and School of Electronics and Computer Science University of Southampton, Southampton SO17 1BJ

Open access to peer reviewed journal articles is one of the key messages of the current international movement that is changing the paradigm of scholarly communication. Creating open access journals is one such route and creating institutional repositories containing author generated electronic text is another complementary alternative. Pioneering subject based repositories, such as arXiv, have shown the way in specific disciplines but a joined up approach is required for a broader reach. Open Access standards have given the opportunity for a variety of database models to coexist and be beneficial to authors in a variety of ways. Developments in Institutional Repositories are now happening globally and illustrate their potential. In the UK, the FAIR (Focus on Access to Institutional Resources) Programme is based on the vision of openaccess. It has project funded a number of repositories, and has enabled the issues to be explored in practical experiments.

The Institutional Repository agenda, however, is in reality, rather broad. Research and teaching provide a range of scholarly outputs including research publications, the raw data on which the research is based and the learning objects which distil the new insights into a manageable product for the learner. This broad span involves a wide variety of issues to be solved and a number of disparate standards to be tackled. The TARDis (Targeting Academic Research for Deposit and dISclosure) project at the University of Southampton in the UK, targeted academic research for its Institutional Repository in its first stage as a manageable goal with key benefits for the institution. The implementation of the Southampton University Research Repository (e-Prints Soton) followed a route based on studying current practices and needs and on acting on feedback from both the institution management and individual faculty members. The TARDis Route Map below illustrates the series of steps which were taken to build a framework for a sustainable repository for a large multidisciplinary institution.

The institution is represented by a broad spectrum of publication types including, but not exclusively, peer reviewed journal articles and the different

disciplines have evolved different recording practices and differing attitudes to making full text freely available. Full text deposits offer the opportunity for added value elements – e.g. links to the full text of the published online version, enhanced diagrams, additional data or presentations – and we are beginning to see interesting exemplars. The repository can then provide the building blocks for enhanced collaborative e-research. Academic institutions that impose research reporting on an institutional repository require full recording of publications and this was a major guiding factor during the TARDis Project. To support this requirement, Southampton EPrint software developers are pioneering a plug-in 'RAE Management' module. A practical route is therefore, to develop an institutional repository which is 'hybrid' – containing both records and full text where achievable

While the traditional subject repositories have often developed in STM areas the TARDis Route Map proposes an effective model to also showcase the research of the Social Sciences and Humanities where the range of publication types is quite different. It demonstrates the key drivers and interactions that have influenced the development and the strategic direction of the Southampton University Research Repository (e-Prints Soton) which we believe will lead to open access to research results in a sustainable way. Only with a route planner which addresses the needs of authors in a spread of disciplines can the institutional repository begin to meaningfully represent the whole. The interdisciplinary nature of research can also be illustrated by the repository and the task of depositing can be eased when multiple local authors in different disciplines work together.

Along this route, the technical and management issues eg authentication and quality assurance of the metadata generation may become more complex initially because of the increased size of the database. Researchers issues need addressing, often softened by the one record for many applications advocacy. However the significant outcome of this approach is that the full text element can grow: as the practice becomes more natural within the author's publication workflow; as funding agencies mandate deposit and as copyright restrictions ease. In the UK, several factors including the Research Assessment Exercise and citation impact measures based on increasing open access could also help encourage this change. The goal of providing open access through institutional repositories to peer reviewed research items may therefore, be achieved by a more circuitous but in the end, more sustainable route.
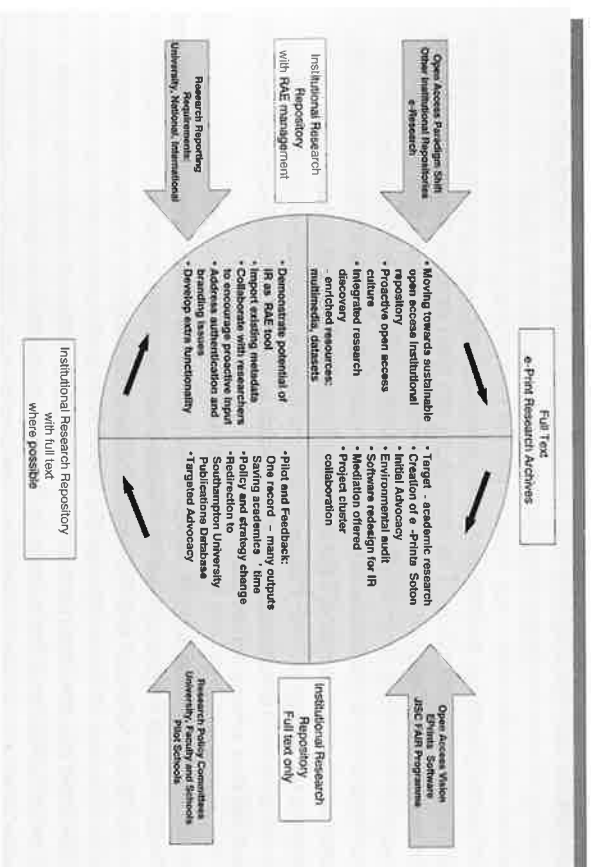
The TARDis Route Map

THE INSTITUTIONAL REPOSITORY AT LSE: PLOTTING OUR COURSE

Sally Rumsey, eServices Librarian, LSE

s.a.rumsey@lse.ac.uk

Like many other higher education institutions LSE is providing its research community with a digital institutional repository (LSE Research Online[1]). The work is being undertaken by staff in the Library. Having made an encouraging start, it has been decided that a review of the direction and future of the repository is necessary with a view to its long-term sustainability.

Firstly, it is useful to clarify the difference between open access journals and open access repositories such as LSE Research Online.

The Bethesda statement on open access publishing gives a clear definition of what an OA (open access) publication is i.e. i) where the author and copyright holder grants rights for free access and use of the work for 'any responsible purpose,' with 'proper attribution of authorship' and ii) where an electronic version of the work is 'deposited immediately' upon publication in an online repository that enables open access[2]. Additionally the BOAI (Budapest Open Access Initiative[3]) states two strategies for achieving open access:

1. OA journals
2. Self-archiving

OA journals can be peer-reviewed and edited, whereas OA repositories involve self archiving (although not always strictly, 'self'), building an archive of the institution's output and having a role that is complementary to journals.

It is common knowledge that physicists, mathematicians and computer scientists have been depositing their work in repositories for some time. Economists are similar. However, other social scientists have so far not been generally as active in depositing in OA repositories.

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1. Since this paper was presented, the name of the repository has changed from LSE Research Articles Online to LSE Research Online to reflect its extended purpose
2. Bethesda statement on open access publishing (2003). Available at http://www.earlham.edu/~peters/fos/bethesda.htm [accessed 30 Aug 2005]
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The LSE Library strategy 2003-04 included recommendations that an institutional repository should be created and this task was included in the job description of the new post of eServices Librarian. During 2004 an ePrints Assistant was recruited to help with the task of setting up and populating the repository.

LSE already had a database which contains bibliographic details of many publications by LSE academics. However, there is no archive of the full text of research output and no record of the total quantity of such items. One of the first tasks when setting up LSE Research Online was to download the bibliographic data held in the publications database into the repository. This has been of mixed usefulness: many of the items are unable to be included because of copyright restrictions, and not all permissible items were included in the database. Also the metadata did not always comply with the standards of the repository.

In Spring 2004 LSE joined the SHERPA-LEAP (Securing a Hybrid Environment for Research Preservation and Access-London Eprints Access Project) consortium. Being a member of this group of seven University of London libraries gives the benefits of shared software (hosted at UCL), a steering group and a group of field officers for collaborative development and support. This has been a particularly quick and easy method of setting up a repository, with the added advantage of shared experience & support

The problem with being part of a project is that it is of finite length and LSE needs to look long term, set its own targets, review the choice of software[4] and set up a service for the future. To this end, a development programme has been devised and has support from senior library management. The development programme has been designed to enable LSE Research Online to transfer seamlessly to a mainstream service. The word 'project' has been studiously avoided so that it is accepted from the outset as an institutional service. Development incorporates methods of future-proofing the repository and taking a lead for the institution whilst investigating the specific needs of social scientists.

The initial configuration and customisation of the repository was carried out by the LSE web services team. Technical support is currently being handed over to the Library IT Support team. Progress has been encouraging with over 100 papers being deposited in around three months. There has been both a top-down and a bottom-up approach, with members of the School's Research

[4] LSE played no part in the initial choice for SHERPA-LEAP, so it is important that the best option for the School is in place when the repository migrates to LSE control

Committee being approached first for inclusion of their papers. The eServices Librarian has spent the summer visiting departments and research centres to publicise the repository and to answer questions from academics. One successful initiative has been to engage the help of a member of academic staff from the law department who is a copyright and IPR expert and highly supportive of the open access repository movement. She has visited some departments and given an academic's view of the repository as well as answering some awkward copyright questions and stating options for retention of copyright by academics.

The current service is a mediated service with the ePrints Assistant adding most of the metadata, although a couple of academics have registered to be able to self-deposit. The ePrints assistant checks copyright permissions, gathers completed deposit agreements from academic staff and converts documents to PDF. So far the content has been limited to published, peer-reviewed articles, but from September 2005 all document types will be accepted. There are not the facilities to scan large numbers of print documents yet, but this is being considered as a service for the future. The Library has been sent a small number of print articles which will be used as a test for this facility.

One area which will be interesting at LSE is the special case of datasets. Many are already deposited with UK Data Archive. There will probably be others which academics will wish to deposit in LSE Research Online. Care will need to be taken that all datasets made available comply with data protection laws.

Because of the prominent status of LSE, the Library is being cautious with its practice regarding the repository. There is a deposit agreement for depositors to sign, copyright advice and a user permission statement for end-users.

It is important to gain 'buy-in' at the institutional level and to that end library staff have been working with the LSE Research Committee, RAE officer and the Publications Office. Communication with these internal stakeholders is vital: it also includes working with all library departments and Archives. It is important to stress to stakeholders the impact which providing a repository is likely to have on the institution.

Current activities include identification of two or three academic departments to target for close collaboration, the adoption of a new name and running a series of launches in departments.

The development programme has been divided into seven workpackages:

1.   Management: documentation, policies and workflows

2. Communication & publicity: publicity campaign, working with liaison librarians and others around the School
3. IT Support: maintenance and selection of software and its development
4. Metadata: consistency, author (or other) versus mediated deposit and the problem of subject headings for social sciences
5. Content: gathering content and changing workflows of social scientists, acceptable document types and formats and copyright
6. Sustainability
7. Collaboration and other developments: LSE will continue to consider collaborative work and monitor current developments whilst working with other existing projects (eg MIDESS[5] and VERSIONS[6]).

Without credible plans for a sustainable service, senior management will be unlikely to support development. The future foundations will be set in the workpackages. Workflows, staffing and fit with other LSE departments will have been worked out. There is as yet, not commitment for additional funding: providing a popular and reliable service may demonstrate a facility worthy of its own budget.

The obstacles and challenges which LSE will have to tackle as the development programme progresses are those of different versions of papers (this has already proved something of a problem), the need for persistent identifiers, long-term preservation, works comprising multiple files and how to handle datasets.

Signals that the Library has achieved its goals are somewhat intangible. Firstly there will be a seamless transfer to a mainstream service and the numbers of items in the repository will have reached a critical mass (to be defined). Secondly, deposit into the repository will have become a normal part of academic workflows by most members of LSE. Finally, the repository is seen as nothing unusual: it is accepted as one element of Library services.

Details
LSE Research Online http://eprints.lse.ac.uk/

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5 See http://www.jisc.ac.uk/index.cfm?name=project_midess&src=alpha
6 See http://www.jisc.ac.uk/index.cfm?name=project_versions

THE WHITE ROSE CONSORTIUM EPRINTS REPOSITORY: CREATING A SHARED INSTITUTIONAL REPOSITORY FOR THE UNIVERSITIES OF LEEDS, SHEFFIELD AND YORK

Rachel Proudfoot, White Rose Consortium ePrints Project Officer

r.e.proudfoot@leeds.ac.uk

Introduction
The White Rose Consortium ePrints Repository was created as part of the JISC funded SHERPA project[1]. The Consortium is a partnership between the Universities of Leeds, Sheffield and York. The three universities share a single installation of the open source EPrints software[2] (developed by Southampton University). The repository houses published research output from across the consortium – primarily peer-reviewed journal papers – and can be viewed at http://eprints.whiterose.ac.uk/. Currently, all the repository content is openly accessible and our access statistics suggest a good level of usage, with many users coming into the system through Google and other search engines.

The Consortium Model

Rationale
The White Rose University Consortium – a broad strategic partnership between Leeds, Sheffield and York Universities – is a framework that researchers within the White Rose institutions, particularly in science and technology fields, are becoming increasingly familiar with. For example, there are shared White Rose postgraduate scholarships and there is a joint, high performance computing service, the White Rose Grid. Prior to the creation of the White Rose repository, there was already a history of cooperation between the three University Libraries and it was felt that a shared, open-access repository could offer a number of advantages to all three partners. For example:

- it was hoped there would be economies of scale in having a single repository installation and in sharing management of the system
- as well as acting as an 'institutional repository' for the three partners, the repository might develop into a tool to aid regional research collaboration
- as the three institutions are all research led, they produce a considerable body of research output and, as the White Rose Consortium web site

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1 http://www.sherpa.ac.uk/
2 http://www.eprints.org/software/

states, 'the combined research power of the three institutions ranks alongside that of the Universities of Oxford and Cambridge and accounts for 86% of the region's research spend'[3]; it was felt that a collaborative system might capitalise on this

- by pooling resources, the University Libraries were able to create a dedicated Project Officer post to facilitate the development of the repository.

This co-operative, shared repository between three competitor institutions is an unusual model and one that has offered a number of advantages – and challenges.

Scale

To give some idea of the scale of the consortium, it may be helpful to consider some statistics. York is the smallest of the three universities, with 10,000 students and over 1,400 academic and research staff spread across 30 academic departments and research centres. Sheffield has 25,000 students, around 2,200 academic and research staff across 70 academic departments organised into 7 faculties. Largest of all, Leeds has over 32,000 students, 9 Faculties, 120 departments and research centres and over 2,300 researchers.

Management

The EPrints software is installed on a server at the University of Leeds and technical support for the repository is provided by staff from the Library systems team. The Project Officer is primarily based at Leeds but spends time at both York and Sheffield. The repository steering group consists of a member of senior staff from each of the partner libraries – Tracey Stanley (Head of e-Strategy, University of Leeds), Peter Stubley (Assistant Director, Academic Services, University of Sheffield), Elizabeth Harbord (Head of Collection Management, University of York) – plus the Project Officer (Rachel Proudfoot). The group meets regularly to monitor repository development and make key repository management decisions. Progress is also monitored by the three White Rose Library Directors who receive monthly progress reports and who have been closely involved with securing support for the repository at institutional level. Monthly reports are also sent to Nottingham University, lead partner in the SHERPA project. The arrangement has worked well – there have been no major differences of opinion so far about the overall strategy for repository development – though the implementation of, for example, local advocacy strategies has differed to some degree between the three partners.

3 http://www.whiterose.ac.uk/

Local customisation

The repository has been customised to reflect the Faculty and Departmental structures of the three Universities so that, if desired, the searcher can limit by specific University or may browse through the tree structure to particular academic units. Of course most University departmental structures are fluid to some extent, with new departmental and research centres being created and others disappearing. To keep up with these changes would be an issue for any repository administrator but it is particularly tricky in this case, with three separate hierarchies and local coding structures. At the moment, there is a single, White Rose branded entry point to the repository. It may be that we will need to consider further customisation so that academics feel more local ownership of the system. Most academics seem to be quite happy with the shared model; it is rarely raised as a major factor influencing whether or not academics self-archive. However, there is some indication that academics would like to see the distinctive branding of their local institution reflected in the repository. It remains to be seen whether we will pursue this direction.

Cross-institutional working

The Project Officer post was created in mid 2004. Initially, the Project Officer worked at Leeds, Sheffield and York on a regular basis; this was felt to be appropriate to become familiar, as far as possible, with the structure and culture of the three organisations and to meet with library staff and academics. Rigid attendance at all three institutions, however, is not necessarily the most effective use of a cross-institutional post. For example, extensive cross-site travelling is expensive and can result in lost working time, negotiating three different local IT systems has occasionally been problematic and, over time, information resources tend to become concentrated at one site. Now that communication channels and local contacts are well established, the Project Officer tends to visit Sheffield and York as and when the need dictates – for specific meetings with library staff and academics, presentations to committees and so on – with most of the repository development work, for all partners, taking place in Leeds.

Politics

There are some broadly 'political' considerations when working in a consortium. For example, since the repository was created we have changed from a Leeds URL to the more neutral White Rose URL; there was some concern academics from Sheffield and York might have qualms uploading work to a Leeds URL. Also, we have detailed access statistics – including breakdown by institution – but we have not made these available in great detail; direct comparisons between the partners might be helpful – or might be politically sensitive. For

now, a summary page of access statistics is offered.[4] We also offer local contact email addresses for the repository – again to emphasise local ownership.

One of the most challenging aspects of the consortium model has been the need to develop the repository at roughly the same pace and growth rate across the three institutions. It was felt that it would be undesirable, at this stage, if one institution was seen to dominate or fell significantly behind. As the repository becomes more established, this requirement may relax to some degree. In practice, academics have tended to be interested only in what work is included from their own institution – rather than the overall size and make up of the 'White Rose' repository.

Advocacy

This short article is primarily concerned with the consortium model and there is not space to consider, in detail, the wide range of advocacy activities that have taken place across the consortium. In summary, all three institutions have taken a combined top-down and bottom-up approach. It has not proved straightforward to persuade academics to become involved with the repository. Our two main population methods have been:

(i) identification of 'green'[5] papers published by White Rose academics (i.e. those published in journals where it is known that the publisher allows self-archiving); academics are then alerted to specific works that can be added, without difficulty, to the repository. Inevitably, this is a piecemeal approach – but a pragmatic one that was felt to be appropriate at this early stage in order to 'kick-start' the repository.

(ii) working closely with individuals or departments who have expressed interest in adding work to the repository. Almost all work has been added through a central, mediated service offering copyright checking, data inputting and, where necessary, obtaining electronic copy of the work.

Although the repository is becoming more widely known, there is still a lot of advocacy work to be done. In the longer-term, it is hoped academics will self-register and upload their own work (though some centralised validation and quality control is always likely to be required). For now, though, in order to keep populating the repository, the central, mediated service is likely to remain.

Conclusions

We are now starting to address the transition for a small-scale pilot repository

4 http://www.leeds.ac.uk/library/sherpa/access_stats.html
5 See the information on RoMEO for further information on publisher policies and an explanation of the colour coding system http://www.sherpa.ac.uk/romeo

to a fully-fledged service across the consortium. There is still much ground work to do – including continuing to raise awareness about open access and the availability of the repository. Hopefully, national developments such as support for repositories from UUK[6] and the position statement from RCUK (still being finalised at the time of writing)[7], will help. There may be particular challenges to come for the White Rose repository – the local needs of one or more of the White Rose partners may change significantly, for example. However, the White Rose experience has demonstrated that it is possible to set up and manage a collaborative institutional repository and, whilst there are many questions still to be answered about how the repository may develop in the future, it is envisaged that the consortium arrangement will continue.

6 http://www.universitiesuk.ac.uk/mediareleases/downloads/Open%20Access_UUK%20policy%20principles_FINAL.pdf
7 http://www.rcuk.ac.uk/access/

REPOSITORIES AND COPYRIGHT: EXPERIENCES FROM THE DAEDALUS PROJECT

Morag Greig, Project Manager DAEDALUS (Advocacy), University of Glasgow

m.greig@lib.gla.ac.uk

Introduction

The DAEDALUS Project is a recently completed three-year project based at the University of Glasgow. Funded by JISC under the FAIR Programme (Focus on Access to Institutional Resources), the project has developed institutional repositories for the University, in particular the Glasgow ePrints Service (http://eprints.gla.ac.uk). A previous article in Assignation (21:3 April 2004, p.16-18) described the background to the project. This article will look specifically at some of the issues relating to repositories and copyright explored by the project. Copyright issues have been found to be one of the major challenges in populating repositories, even where authors have been willing to deposit content.

Findings on authors' attitudes to copyright

Discussions with local academics have revealed that when submitting journal articles many authors do not study closely the copyright transfer agreements they are asked to sign. Authors are reluctant to suggest changing the wording of such agreements or ask publishers if they can provide an alternative agreement, as they fear that their work will not be published as a result. It was also established very quickly that academics were unwilling to stop publishing in a particular journal simply because of a restrictive copyright agreement. We also discovered that many authors find copyright transfer agreements confusing and often feel that they do not have the expertise to interpret them. This meant that nearly all staff willing to deposit content in the Glasgow ePrints Service wanted project staff to check copyright agreements for them before any full text was added.

Copyright checking process at Glasgow

Before any full text is added to the Glasgow ePrints Service project staff check the copyright policy relating to it. A checking process has been put in place which can involve several stages. The SHERPA/RoMEO List of Publisher Copyright Policies (http://www.sherpa.ac.uk/romeo.php) is very useful for establishing whether or not an article can be added to a repository such as the ePrints Service, and what the associated terms and conditions are. In the case of a number of the large publishers (e.g. Elsevier) their policies in this area are now fairly well established, and therefore in such cases no checking is required. Although the SHERPA/RoMEO List is very useful it does not list all publishers, so

further checking can be required. It also needs to be borne in mind that publishers can change their policies, and this is not always reflected immediately in the list. In some cases where further clarification is required it is useful to look at the copyright agreement itself, which in most cases can be found on publishers' web sites.

Some publishers, particularly smaller publishers, do not provide information about what authors are permitted to do with their papers in relation to institutional repositories. It is also the case that even where copyright transfer agreements are readily available they do not always make any reference to repositories. In this case we have adopted a policy of contacting publishers directly to seek permission to add content to the repository. A standard e-mail has been developed which is sent to the most appropriate contact.

Experiences with publishers

Most publishers do reply to the e-mails we send, though some take several weeks to do so. Responses vary, but we have been surprised at the fairly high level of positive replies. It is often the case that publishers are willing to give permission for specific articles, but are not keen to give blanket permission to add additional articles without seeking permission each time. Contact with publishers has led to some interesting dialogues. A couple of publishers have responded to say that they did not currently have a policy in place, but that they would hold discussions in order to formulate such a policy. In another case contact with a fairly small publisher led to discussions about the pros and cons of the 'author pays' model, and an exchange of views on whether or not it would be feasible for the publisher to start moving towards this model.

One problematic issue is what action to take if publishers simply fail to respond. It has been suggested by some of those working with repositories that publisher should be advised that if they fail to respond by a certain date the full text will simply be added to the repository. However, at Glasgow we took the decision that if we did not get a response from a publisher we would not add the full text. This is a somewhat grey legal area, and we felt it was best to take a cautious approach here.

Interpreting copyright agreements

The interpretation of publisher copyright agreements has been one of the major challenges faced by the project. The wording of agreements is not standardised, and it is not always clear exactly what publishers mean. A good example of this is the variant terminology used to refer to where authors may make their articles available, e.g. 'author's personal website', 'on author's or employer's website only', 'on a public eprint server', 'on a non-profit server' etc. The distinction between personal web sites and repositories or eprint servers is very unclear, particularly as papers made available on either will be picked up by search

engines regardless of where they are located. Another confusing situation arises where publishers state that authors retain copyright of their papers, but then go on to give a list of restrictions on what they can do. This seems to be in direct conflict with the principle of permitting authors to retain copyright.

Author final versions

A major issue currently facing repositories is the policy being adopted by an increasing number of publishers on the versions of articles that can be added to repositories. Publishers such as Elsevier and Springer have taken the stance that authors may add their 'author final version' of papers to repositories, by which they are referring to the version post-editing and refereeing but without the publisher formatting of the subscription pdf version. The majority of authors we have spoken to have indicated that they do not have suitable versions of their papers. This is particularly the case for older papers. Many authors have the version submitted to the journal and the final pdf version, but no versions in between. This appears to be because this would involve actually assembling such a version, and authors do not have the time to do this. Further problems are caused by the need in some cases to create a single file from a collection of files including images, graphs etc. It is also worth mentioning that some authors are not keen for any version of their papers other than the publisher pdf version to be made available in repositories.

Including books and book chapters in repositories

In recent months the project has been investigating the issues relating to adding books and book chapters to the ePrints Service. Copyright checking here can be very resource intensive, as unless authors have signed agreements with the publisher that specify their rights in relation to repositories it is necessary to contact the publisher and ask permission on each occasion. Surprisingly publishers we have contacted have been willing for book chapters to be added, particularly if they are at least a couple of years old, and even more so if the book in question is out of print.

Adding monographs and book chapters to a repository raises the issue of a possible conflict with author revenue from royalties. Some studies have demonstrated that making academic books freely available online can actually enhance sales of the print version. However, this is an issue that needs to be discussed carefully with authors. It is interesting to note that the RCUK proposed position on access to research outputs (see *http://www.rcuk.ac.uk/access/index.asp*) refers only to journal articles and conference papers.

Conclusions

It is still the case that there is a lot of uncertainty surrounding repositories and copyright. The work currently being undertaken by JISC and SURF in this area is extremely welcome and should lead to greater clarity for authors and

repositories. The recent release of the RAE 2008 Submission Guidelines, which indicate the institutions will be required to make electronic copies of submissions available (http://www.rae.ac.uk/pubs/2005/03/rae0305.pdf) either via an institutional repository or a protected website, highlights the issue of the acceptability of 'author final versions'. It is not yet clear if such versions will be acceptable to RAE panels. However, it is certainly the case that authors should be encouraged to start keeping suitable versions of their articles wherever possible.

Copyright will continue to be an important issue for repositories, and it is likely that authors will continue to look to repository managers to provide advice on this area.

THE JISC/SURF 'PARTNERING ON COPYRIGHT' PROJECT

Celia Jenkins[1], Steve Probets[2] & Charles Oppenheim[3]
Department of Information Science, Loughborough University

The Joint Information Systems Committee (JISC) in the UK and the SURF foundation in the Netherlands recently commissioned a series of projects under the banner of 'Partnering on Copyright'. This UK/Dutch initiative has been identified by the JISC/SURF coordinating committee as an area where cooperation between the UK and Dutch communities would be beneficial. The initiative is partly an outcome of the JISC-funded RoMEO project [1], which finished in September 2003 and produced a range of outputs including: a series of reports detailing stakeholder requirements of self archiving; a database of publishers' self-archiving policies [2] (currently maintained by SHERPA); a set of advocacy materials; and a list of recommendations for future work. A series of articles on the results have appeared in the professional literature [3-8]. The 'Partnering on Copyright' initiative is, in part, a result of the RoMEO recommendations for further work and is also based on the seven Zwolle Principles which were agreed at the 'Copyright and Universities' conference held in Zwolle in the Netherlands in December 2002 [9]. These principles were devised 'to assist stakeholders – including authors, publishers, librarians, universities and the public – to achieve maximum access to scholarship without compromising quality or academic freedom and without denying aspects of the costs and rewards involved' [10].

Aim of the project

The aim of the 'Partnering on Copyright' project is to contribute to a better understanding and awareness of the copyright issues affecting open access publishing through the provision of information resources, reports, guidelines and best practice. It aims to encourage all stakeholder groups to work together in ensuring a balanced representation of their rights and requirements. The project is split into five distinct work packages – each with a specific set of deliverables. The first four work packages address the rights issues raised by the differing requirements of academic authors, HEIs and publishers. The final work package looks at how rights management is covered in the area of Open Access journals. Although the project has an umbrella title of 'Partnering on Copyright', the work packages themselves are being managed by three different

[1] C.D.Jenkins@lboro.ac.uk
[2] S.G.Probets@lboro.ac.uk
[3] C.Oppenheim@lboro.ac.uk

organisations: work packages 1 and 2 are being jointly undertaken by JISC Legal and SURF; work packages 3 and 4 are managed by the authors of this article at Loughborough University; and work package 5 is being managed by Pleiade Management and Consultancy.

Details of the work packages

Work package 1 is titled 'Publishing Agreements'. It focuses on the author to publisher relationship, and aims to assist in the creation of balanced publishing agreements. This work will determine the rights that academic authors, HEI management and publishers require. This will subsequently lead to the creation of model publishing agreements, and of suitable 'terms and conditions', good practices and addenda to agreements. This work package will also further develop and refine an already existing web-based copyright toolkit, which was presented at the Third Zwolle conference held in February 2004 [11].

Work package 2 is titled 'University Copyright Policies'. It focuses on the university to author relationship, and encompasses the needs of HEI senior management, librarians/IR administrators and academic authors. It looks at how institutional copyright policies can cover the needs and priorities of each stakeholder group, and also considers the rights and warranties required for the successful implementation of Institutional Repositories (IRs). Through conducting a study of both UK and Dutch copyright policies, good practices and guidelines will be identified and produced, as well as model author/HEI licenses and 'notice and takedown' procedures for IRs.

Work package 3 is titled 'Copyright Knowledge Bank'. This part of the project is an extension of the widely-used SHERPA/RoMEO listings of publishers' self-archiving policies [2]. This is currently an important resource for both academic authors and those who archive on their behalf, i.e. librarians or IR administrators. This part of the project will extend the database to contain more comprehensive details of the Copyright Transfer Agreements (CTAs) of over 100 leading journal publishers. The functionality of the database will be extended so that it is searchable by journal title as well as by publisher name. The added functionality and improved coverage of the database will make this resource even more user-friendly and useful, enabling the straightforward discovery of information on publishers' self-archiving policies. In addition to this public interface to the database, the project is considering making available an application interface that will deliver machine readable XML data detailing the underlying terms and conditions of the publisher's CTAs, thereby allowing third party service providers to re-use this information. This process will involve the identification of a set of common self-archiving terms, including what can be archived as well as common conditions and restrictions. These terms will make up a controlled vocabulary with standard definitions that will allow CTAs to be systematically described. This work is being developed by Loughborough

University in association with SHERPA. Tilburg University are partnering in this work and are developing a form letter-writing application using the machine readable CTA data.

Work package 4 focuses on advocacy. This work is focused on developing a 'Know Your Rights' campaign and is an important part of the overall 'Partnering on Copyright' project as it provides a cohesive centralised 'front-end' for the dissemination of the deliverables from the other work packages. A further major deliverable of this work package will be the creation of a toolkit, which will focus on raising awareness of copyright ownership and management issues within institutions. This toolkit will be aimed at authors, HEI management and IR administrators, and will consist of 'ingredients' which can be combined to make an effective means of communication with stakeholders, such as PowerPoint presentations, leaflets, guides, and examples of good practices concerning advocacy strategies, activities and materials. The toolkit will be configurable by each institution and will give advocates of open access a means to create appropriate material. The toolkit will come with a 'communications plan' which will outline the alternatives for the effective dissemination of rights issues. The toolkit will be piloted in both the UK and the Netherlands, and a description of its creation and implementation, along with the results of the pilots, will be made available.

The final work package is titled 'Open Access Journals' and focuses primarily on copyright aspects with regards to Open Access journals (OAJs). This study into the existing copyright practices of existing OAJs will lead to the identification of good copyright practices. This work will contribute to a better awareness and understanding of rights management issues in the OAJ sector, especially among academic authors and publishers.

Outcomes of the project

It is hoped that the 'Partnering on Copyright' project, through the exploration of copyright management in the open access arena, will provide stakeholder groups with an invaluable source of information and advice. By increasing knowledge and raising awareness of copyright issues and through identifying the needs of stakeholder groups a balanced and effective approach to copyright practices within scholarly communication may be achieved.

Where to get further information

The outputs of all the work packages will be presented on the 'Partnering on Copyright' Web site, which is currently in development. However, the URL of the Web site will be posted on the original RoMEO project Web site [1] as soon as it is available. 'Partnering on Copyright' project events, such as presentations, are also planned for 2006, and will be advertised on the Web site.

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INVESTIGATING REPOSITORY USE IN THE WEST MIDLANDS

Dr Sue Morón-García, wm-share, University of Worcester

s.moron-garcia@worc.ac.uk

Introduction

The wm-share project based at the University of Worcester is a one year project funded by the JISC Distributed E-Learning programme. We are working in partnership with other universities, colleges and organisations in the region (see) to promote the use of shared digital content in the West Midlands, facilitated by the use of repositories. We are concentrating on the creation, storage and retrieval of teaching and learning content and our focus is on identifying user needs in relation to the sharing of this content. In order to do this we are attempting to identify networks and collaborations already in existence that may benefit from access to a shared content space and to identify barriers to sharing.

University of Worcester

Birmingham College of Food, Tourism and Creative Studies

Technology Enhanced Enterprise Education (TE3), Birmingham University

Bournville College

City College Coventry

umJISC Regional Support Centre

Josiah Mason College

Kidderminster College

Sandwell College

E-source regional repository, New Technology Institute, Coventry

ARCHES repository, Warwick University

Worcester College of Technology

Table: Partner institutions and organisations involved with wm-share

Background

Until recently repositories have been used by institutions to store items associated with research output, that is, e-prints, conference presentations, works in progress, rather than items supporting teaching and learning. The latter were more commonly accessed via departmental Web pages and virtual learning

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environments (VLEs) such as Blackboard, WebCT and Moodle. However, with increasing emphasis on improving the student learning experience and teacher desire to make more effective use of the time available to them, the idea of a repository for teaching resources and learning objects is gaining currency.

Institutions are keen to capture and store in one place assets related to teaching and learning in order to provide examples of good practice and to facilitate sharing across and within disciplines. Repositories support the rationalisation of digital storage away from many independent and possibly individual 'silos', that may become obsolete and that are difficult to access, to a common store with access for all authorised users. There are allied debates occurring around issues of authenticating access (the use of Shibboleth for example, see JISC Middleware projects *http://www.jisc.ac.uk/index.cfm?name=pub_shibboleth*) and open access to research publications (see the SPARC web site *http://www.arl.org/sparc/ index.html*).

Repositories in the West Midlands

In the West Midlands there are various examples of repositories, both institutional and regional, in use and in development. The Arches project at Warwick University created a repository to store digital images associated with archaeology and theatre studies that could be used by students to produce their own work. Further development work is ongoing. The TE3 project at Birmingham University, on the other hand, is intending to use a file store or repository to store retrievable content packages created by their consortium members and currently accessed via a Web site. It is a good example of a sharing community that is open to members of those institutions where a contribution has been made and of the use of matched funding to promote the creation and sharing of reusable digital content.

One repository in use in the region was developed initially, by staff at City College Coventry, as a way of reading the metadata included in the National Learning Network (NLN) materials. It made this material searchable and retrievable and has become a well-used resource by teachers at that institution and the basis of repositories found at three other institutions (the University of Worcester, Worcester College of Technology and Kidderminster College) plus a number of institutions outside our region. This repository also allows the submission of digital content and requires the completion of a metadata form based on UK LOM and a classification system currently based on Dewey. In the submission model used at City College Coventry this metadata is checked by librarians, a model that will be adopted by the University of Worcester repository that aims to provide a service to academic staff based in Worcester and those based in partner colleges delivering foundation degree courses.

The New Technology Institute in Coventry is managing a regional repository,

E-SOURCE, based on the HLSI repository from Yorkshire (now re-branded as YH Learning, see http://www.yhlearning.org.uk/). E-SOURCE is still in development but is intended to provide a built-in content packaging tool, e-cat, a collaborative area for work in progress, a tool that will facilitate the inputting of metadata from other repositories and a search tool that will allow users to find materials of interest in a number of repositories (although access to these materials may need to be negotiated). This repository model is proving interesting for those institutions, particularly in the further education sector, who have not decided whether to purchase their own repository yet and who are interested in sharing in order to lessen the workload for their staff and to access examples of good practice.

Another example of a repository in use within the West Midlands is the digital library project (UCEEL) at the University of Central England. This uses technology which has been additionally employed to provide an administrative document repository, particularly useful in responding to freedom of information enquiries, and which will be used to store sharable, reusable learning objects and large items such as video that support teaching and learning. A further JISC project aims to create a digital content repository for the COSE VLE at Staffordshire University.

Exploring the creation and use of digital content

In order to understand the situation within our partner institutions we conducted a preliminary review with our main contact(s) in order to identify shared resources that were currently available to teachers, their access to ICT including VLE availability and use and any collaborative ventures or sharing networks that may already be in existence. This highlighted the differences in resources and equipment available within institutions and some of the immediate barriers that teachers may face, for example in gaining access to a networked computer on which to prepare resources. This will allow us to understand some of the responses we hope to get from a wider survey of teachers, the potential users.

We have determined that it is necessary to be as open as possible in our definition of an item of digital teaching and learning content, in order to encourage teachers to explore the repository tools on offer. Furthermore not all teachers are familiar with the use of content packaging tools such as RELOAD, e-cat and CourseGenie and what we are interested in is building up a willingness to contribute and retrieve, use of these tools may come later as teachers wish to contribute larger 'learning objects'.

Emerging issues

Although we still have a long way to go we are beginning to see the complexity of the issues involved in attempting to promote the use of shared digital content.

Primarily it is affected by the willingness of lecturers and tutors to access the materials and to contribute to the repository and seems to revolve around issues of trust, quality and recognition. There are concerns about the quality and accuracy of materials accessed and a loss of competitive edge in relation to other institutions; this may say more about teacher attitudes to content (is it really king?) and their ideas about what rather than how they teach.

We are currently trying to survey as broad a cross section of teachers as possible about their use and production of digital content, where they find and store this content, attitudes to sharing, willingness to complete a metadata form, why they might want to view or use others' materials and the importance of quality.

For further information please visit our web site: *http://www2.worc.ac.uk/wm-share/*

See also: JISC digital repositories briefing documents for FE and for HE: *http://www.jisc.ac.uk/index.cfm?name=pub_repositories*

Another project that may be of interest: Rights and Rewards in Blended Institutional Repositories, Loughborough University *http://rightsandrewards.lboro.ac.uk*

ETHOS: ELECTRONIC THESES ONLINE SERVICE

Martin Wolf, University of Warwick and member of the EThOS project team
M.Wolf@warwick.ac.uk

What is the typical scenario for a researcher finding and using the information in a PhD thesis? Stumbling across a reference to a PhD thesis in the bibliography of an article? Maybe a recommendation from a supervisor or colleague? Possibly a search on Index to Theses? After that, what then? The filling in of an inter-library loan form, and the six week wait for a copy of the required theses to arrive at your local library. For researchers in UK Higher Education Institutions (HEIs), theses are sadly all-too-often the only methods of discovering and accessing the PhD theses stored in libraries throughout the country.

Given the wealth of information contained within these works – 'important ideas, painstaking methodologies, literature reviews, successful hypotheses, and records of experimentations'[1] – improving access to information about, and increasing the full text availability of, these documents could significantly benefit the research community. Just such improvements are the goal of the EThOS (Electronic Theses Online Service) project.

What is EThOS?

EThOS is an eighteen month project (work on which began in January 2005) which will deliver, by summer 2006, a working prototype for a national scheme to provide electronic storage of and access to PhD theses. The scheme will be built around a hybrid IT infrastructure providing end-users with a single point of access to theses stored both in a central repository to be hosted by the British Library and in individual institutional repositories.

Key deliverables will include:

- a central repository, based at the British Library and utilising the GNU EPrints software, to which HEIs will be able to submit electronic copies of theses for storage and dissemination;
- the retrospective digitisation of a critical mass of existing theses to provide content for the new service;
- a robust business model taking account of the need to run on a cost-recovery basis while favouring a policy of free-at-the-point-of-use access;

[1] MacColl, J., 'Electronic theses and dissertations: a strategy for the UK' Ariadne, 2002. **32**. http://www.ariadne.ac.uk/issue32/theses-dissertations/intro.html

- metadata standards for electronic theses, building upon work elsewhere;
- a toolkit for university staff (including library staff, administrative staff and academic staff) providing technical advice, guidance on issues such as Intellectual Property Rights and confidentiality, and advocacy materials to help encourage the take-up of electronic theses within institutions.

The project is being co-funded by CURL (Consortium of Research Libraries in the British Isles), JISC (Joint Information Systems Committee) and the project partners (outlined in full at the end of this paper). Between them, the project partners represent institutions producing theses that are most frequently requested via inter-library loan, that are already taking steps towards implementing the electronic submission and storage of theses, and have been involved in previous projects linked both to electronic theses[2] and more general developments in institutional repositories. Management of the project is based at the University of Glasgow, and the inclusion of key stakeholders such as senior university administrative and academic staff on the project board ensures the project benefits from a wide range of input.

In detail: how the project will achieve its aims

To achieve its aims, the EThOS project will have to address a wide range of complex technical, legal and administrative issues. To do so, eight inter-dependent work packages have been established, working together under the guidance of an overall Project Manager. Given the scope of the project, the first of these work packages is dedicated to project management, which is using the PRINCE2 methodology[3].

Work package 2 will develop and deliver a fully operational and easily scaleable technical infrastructure to support a single interface to allow researchers to search a UK Database of Theses (UKDoT) and access, from the desktop and in secure format, the full text of electronically stored theses. In addition, it will develop processes to deliver theses on other media such as CD/DVD as appropriate. This central service will load and store standard format e-thesis metadata from institutions wishing to supply their own content. Where appropriate the system will also administer rights, royalty and permission requirements. As of August 2005 a number of milestones have been reached, including the installation of the necessary hardware and software and definition of the metadata requirements for the first stage implementation of the system.

In tandem with this, work package 3 will build technical solutions to harvest

[2] Such as University of Glasgow (Daedalus project), University of Edinburgh (Theses Alive! project) and Robert Gordon University (Electronic Theses project)
[3] For more information on the PRINCE2 methodology, see www.prince2.com

metadata from institutional repositories. Different scenarios for the gathering of metadata will be tested, including the direct submission of metadata and content by host institutions, harvesting of OAI- (Open Archives Initiative) compliant metadata[4], and dynamic cross-searching of distributed repositories. These interfaces will then be built into the central service hosted by the British Library, so that the central service will provide end-users with seamless access to information stored both in the central hub and in other repositories. The work package has already drafted reports into metadata harvesting interfaces and produced updated versions of a prototype metadata scheme for e-theses.

The digitisation of current and past doctoral theses is the focus of work package 4. This will involve the digitisation of material currently held both in paper (400 volumes) and microfilm (1,500 volumes) formats, in order to create a critical mass of content ready for the launch of the full service in summer 2006. The work package will additionally develop processes to inform the overall EThOS business model for a sustained programme of digitisation. Work undertaken so far has addressed issues such as image quality and the size of the files produced from digitised material.

Work package 5 is addressing the issue which consultation with stakeholder groups has identified as being their primary concern – Intellectual Property Rights. Addressing problematic areas such as the rights to ownership of the content of theses (author or institution), the use of third party material within theses, and the rights of those using theses to inform their own research, this work package will produce best practice procedures related to rights, royalties and permissions prior to the development of the central host service. The outcome of this work will help inform the business model for the full service, and the toolkit (mentioned earlier) that the project will produce to aid institutions in implementing e-thesis developments.

The creation of this toolkit is the task of work package 6. Building upon work already completed by the Electronic Theses project[5], the toolkit will provide information and guidance on the training, communication, administrative and technical issues an institution will need to consider when setting up an e-theses system and integrating it with the national EThOS service. The toolkit will feature an interactive model, created with the Microsoft Visio software, in the form of a flow chart detailing the processes involved, with links to supporting information on web pages. A draft model for the toolkit has already been created, and is in the process of being refined.

4 For further information, see http://www.openarchives.org/OAI/openarchivesprotocol.html

5 http://www2.rgu.ac.uk/library/e-theses.htm

In order for EThOS to provide a sustainable, viable service, a robust business model is required. Work package 7 is developing a business model that takes account of the need for the long-term sustainability of the service. Its investigations are focused on running the service on a cost-recovery basis while aiming to provide free-at-the-point-of-use access.

Advocacy and dissemination is the subject of work package 8, as institutional drives to encourage the use of e-theses, and a national e-theses service, will only be successful if people know about them. This work package has two main objectives: to prepare a template of advocacy measures that will support those seeking to introduce e-theses systems within their institutions (the template will be integrated into the toolkit created by work package 6), and to promote the service itself, through workshops, publicity material and other promotional activities. Reviews of the relevant literature and a short questionnaire of university administrators have already been completed, with further work planned including interviews with key stakeholders, the production of promotional literature and the running of workshops to promote the project and eventual service.

Summary

The creation of a national e-theses system has the potential to revolutionise access to the output of doctoral research from the UK. For students, e-theses offer the possibility of new formats of theses and the opportunity for their work to have a much wider impact than previously possible. For researchers, it promises much easier access to the data and findings contained in the c.14, 000 academic theses produced in the UK each year[6]. For senior managers, the service provide statistics showing how widely consulted the work of their institutions' PhD candidates is. For librarians the service will offer immediate access to theses, freeing time spent on the location and acquisition of theses for use on other tasks.

For further information on the project's ongoing progress, you can visit the project website at www.ethos.ac.uk.

EThOS Project Partners
Consortium of Research Libraries in the British Isles
Joint Information Systems Committee
University of Glasgow
University of Edinburgh
Cranfield University
Robert Gordon University

6 JISC Press release to the Times Higher Education Supplement, 7th April, 2005

University of Birmingham
University of Warwick
University of Southampton
National Library of Wales
SHERPA (consortium led by University of Nottingham)

A PRACTICAL REVIEW OF INFORMATION LITERACY TUTORIALS

Ruth A. Hunn and Dr. Amanda C. Elliott
Cranfield University, DCMT

This paper reports the findings and conclusions from an in-depth practical review of information literacy tutorials from around the English speaking World. The review was carried out as part of the research phase for the investigation and development of a tailored e-learning information literacy tutorial for students at Cranfield University, Shrivenham campus.

Introduction

The driving force for the need for an Information Literacy (IL) tutorial package arose from the restructuring of UK Army Officer education towards e- and distance learning. The creation of the package will draw on the existing knowledge and methodologies of library staff currently providing information literacy programmes at the Defence Academy, in the UK.

As part of our development, we carried out a detailed review of other IL tutorials that were available on the web. For our purposes, the aim of an information literacy tutorial is:

'*to enable the student to learn the relevant practical application of* (*identifying, locating and*) *using information effectively*'.

We used this aim as a focus for determining what and how we would evaluate other tutorials. As such, we resolved to investigate the following five issues:

- How tutorials *enable the student*;
- How tutorials *help the student learn*;
- How relevant the tutorial is in terms of *relevant practical application*;
- How tutorials incorporate *using information*;
- How *effective* the tutorial was for the learner.

Methodology

1.1 Aims

We reviewed generally available on-line Information Literacy (IL) tutorials. The objective of the review was to determine how well current IL tutorials met our aim for an IL tutorial and to identify what trends there were in IL tutorial design.

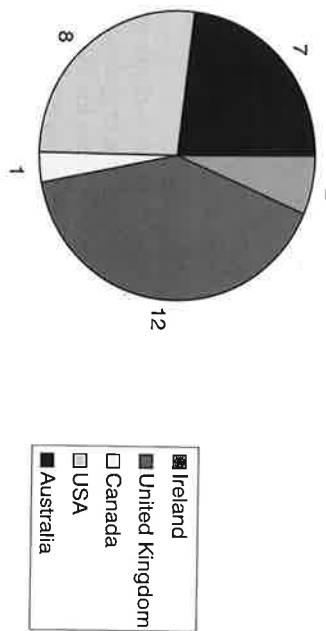**Number of tutorials assessed from each country in our sample**

Figure 1: Sample breakdown – the number of tutorials from each country

Our sample included tutorials from around the English-speaking world, with 30 IL tutorials in total, containing a total of 196 individual modules. The exact break-down of which countries the tutorials in our sample originated from, are shown in.

1.2 Items assessed
In order to review how the tutorials *enabled the student*, we looked at the learning styles catered for by the tutorial, using Honey and Mumford learning styles; activists, pragmatists, theorists and reflectors. Also, we determined how accessible the tutorial was in terms of suitability for learners with disabilities and whether different learners could use it, through the speed of loading.

In reviewing how tutorials help the student learn, we looked at the tutorial content in terms of learning activities, such as self-assessment. Activities and self-assessment enable the user to evaluate their progression through the tutorial, think about and apply what they have learnt.

To assess whether tutorials had relevant *practical application*, we reviewed: the target audience of the online tutorials; whether the tutorial was generic or subject specific; and whether tutorials covered different sources, such as print, library resources and the Internet. These aspects provide an understanding of the relevant academic attainment level, who will use the tutorial and whether the learners are offered a wider context.

Information literacy standards and their core competencies have been developed to offer a depth to the effective development of understanding the use of information. As such, to evaluate what aspects of *using information* were

covered by the tutorials, we reviewed the tutorial content against information literacy standards (ACRL, ANZIIL and SCONUL)[7].

To assess how *effective* the tutorial might be, we reviewed the size of the individual modules and the tutorial as a whole, both in terms of time and in the number of pages. Size is an indication of tutorial effectiveness because it influences learner concentration and orientation.

Findings from the practical in-depth review

1.3 Findings from review of 'to enable the student':
The results found that the majority of tutorials catered for theorists easily by provision of explanations and activists by 'have a go' exercises and self-assessment but other learning styles were left out (see figure 2).

In terms of user accessibility, it was found that the majority of tutorials did feature attributes of changeable fonts and had clear layouts and many were quick to load. However, most used black text on white background which is not easy for dyslexics to read.

1.4 Findings from review of 'learning'
Of the 196 modules reviewed, 112 had self-assessment, mainly located at the end of each module within the tutorial (n=112). It was also common to find activities within a module (n=75), whereas pre-tests were rarely used (n=8).
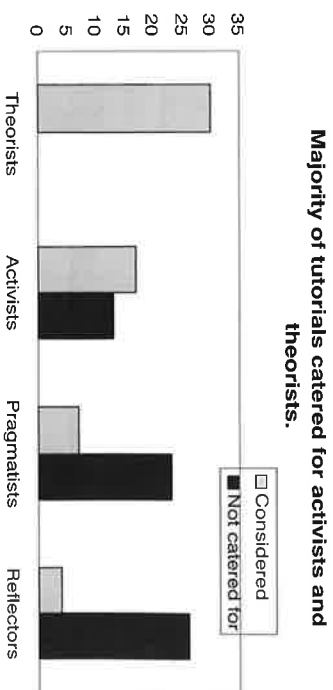
Majority of tutorials catered for activists and theorists.

Figure 2: Learning styles that tutorials conform to

7 Information Literacy Standards include those from ACRL (Association of Colleges and Research Libraries); ANZIIL (Australian and New Zealand Institute for Information Literacy); and SCONUL (Society of College, National and University Libraries).

The most common method of self-assessment was multiple choice

Other forms 3%

Drag and drop 2%

Essay questions 1%
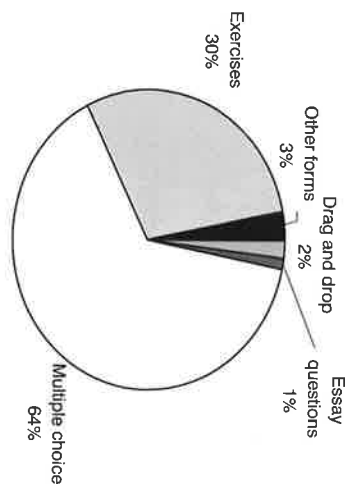
Exercises 30%

Multiple choice 64%

Figure 3: Methods of self-assessment

As can be seen in , the most common form of self-assessment was provided by multiple-choice questions. Exercises were also common but unlikely to provide instant feedback for the student to evaluate their learning.

1.5 Findings from review of 'relevant practical applications'
The review found that most tutorials were developed for an undergraduate audience, see . All tutorials in our sample covered a wide range of resources, including print, library resources and the Internet. Further surveys revealed that tutorials are often accessed by learners outside the target audience (e.g. postgraduates wanting to become more information literate).

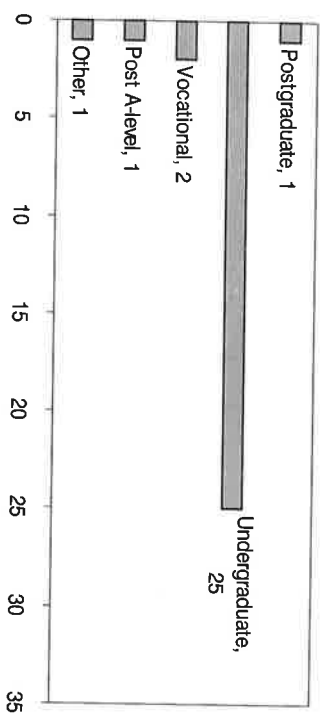**Most tutorials were developed for an undergraduate audience**

Postgraduate, 1

Undergraduate, 25

Vocational, 2

Post A-level, 1

Other, 1

0 5 10 15 20 25 30 35

Figure 4: Audience level of the sample tutorials

The majority of tutorials were found to be generic in their nature (n=25), with only four subject specific. It was also found that some subject specific tutorials/ modules are not generally available in the public domain and could not be assessed.

1.6 Findings from review of 'using information'
Seventeen of the thirty tutorials were not designed against IL standards. Of the thirteen that were, 3 used SCONUL, 5 used ACRL and 5 used ANZIIL.

Tutorials were found to concentrate on the early stages of IL standards e.g. information location. There were fewer modules for learning the practical issues of using information, such as organising and building on information, which are often regarded as the higher order literacy skills.

1.7 Findings from review of 'effectively'
Tutorials generally took between 2 and 4 hours to complete. There was also a wide variation in the time taken to complete a module. Some modules felt too long, for the time taken or the numbers of pages they contained; long modules were difficult to follow and disorientating for the user.

The most common number of modules per tutorial was six (see figure 5), however, this did vary, with no obvious link between time taken and number of modules. E.g. some had few pages but took a long time to complete either due to complexity or size of pages

The most common number of modules per tutorial was 6, but it was not uncommon to have 5, 7 or 9 modules

Count

8
6
4
2
0

four five six seven eight nine ten
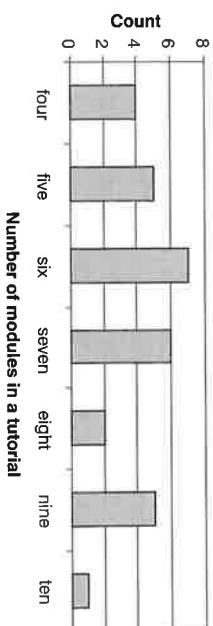
Number of modules in a tutorial

Figure 5: The number of modules in our sample tutorials

Conclusions

Our findings appear to indicate that theorists and activists are easy to cater for in IL tutorials. It was notable that, when individual modules did cater for either reflectors or pragmatists, the entire module was in this style, which could be a reflection of the learning style of the tutorial author, rather than a focused attempt at inclusion of other learning styles. Our review recognises that catering for all styles needs to be an aim of the tutorial authors, as it does seem to occur without direction.

We found that technology is being used to provide straight forward self-assessment, normally at the end of the tutorial rather than offering a rich learning environment. Generally, tutorials do the minimum they feel necessary for accessibility.

It was found that Institutions chose to develop generic undergraduate tutorials. Possible reasons for institutions developing generic tutorials include: information literacy can be more easily described in generic terms; content is easier to develop without referencing specific items; and importantly, the time it takes to supply an IL tutorial to a wider audience is less.

Many institutions appear to be developing tutorials that cover the 'easy' things and are often not comprehensive in terms of IL; the depth of explanation was limited and the breadth restrictive in some tutorials. Those that didn't apply IL standards often omitted the explanation of *why* learners may need to find and use information. Generally, it was found that tutorials do not provide help to the student on coping with information overload.

There was a variability in tutorial and module size, indicating that other factors influence this decision, not necessarily the number of core competencies the tutorial is attempting to teach.

Bibliography

Association of College and Research Libraries (ACRL). (2000). *Information Literacy Competency Standards for Higher Education*. Chicago: Association of College and Research Libraries. [Online] *http://www.ala.org/ala/acrl/acrlstandards/standards.pdf* [Accessed: 28.4.2005]

Bundy, A. (ed). (2004). *Australian and New Zealand Information Literacy Framework: principles, standards and practice*. (2nd Ed.) Adelaide: Australian and New Zealand Institute for Information Literacy. [Online] *http://www.anziil.org/resources/Info%20lit%202nd%20edition.pdf* [Accessed: 28.4.2005]

The Society of College, National and University Libraries (SCONUL). (1999). *Information skills in higher Education: a SCONUL position paper*. London:

SCONUL. [Online]. *http://www.sconul.ac.uk/activities/inf_lit/papers/Seven_pillars2.pdf* [Accessed: 28.4.2005]

USEFUL RESOURCES FOR TRAINING AND STUDENT INDUCTIONS.

I. Free Online Tutorials

Internet searching techniques.

Tonic
Netskills general course. Good introduction to technical matters relating to the Internet.
http://www.netskills.ac.uk/onlinecourses/tonic/

University of Berkeley Tutorials.
Good introductions with practical tips. This year there is a new Googling to the Max course. http://www.lib.berkeley.edu/TeachingLib/Guides/Internet/Google.html
Handouts and PowerPoint slides can be accessed from the web site.

RDN Virtual Training Suite.
Free subject based tutorials for UK FE and HE. Over 60 available! Each has a teachers pack with PowerPoint Slides, Handouts and Workbooks. New this year – job searching and digital photography.
http://www.vts.rdn.ac.uk/

There is a special teachers section with guidelines on use and case studies at:
http://www.vts.rdn.ac.uk/teachers/

SOSIG Training materials.
Free access to flyers, presentations and work books to show students how to use the Social Science Information Gateway.
http://www.sosig.ac.uk/training/training_materials.html

It also includes links to Best of the web guides highlighting key web sites for particular subject areas. Subjects covered are, business and economics, psychology social research and politics.

Information Literacy Resources

UK Higher Education Academy Directory.
Good collection of links to examples collated by Ruth Stubbings, Loughborough University Library with additional resources identified by Mariam Garibyan and the Information Literacy project at the University of Sussex. Includes UK, USA and international examples.
http://www.ics.ltsn.ac.uk/ILS/informationskillstutorialsnew.html

SCONUL Information Literacy Homepage.
Useful links to key organisations, plus another directory of UK HE online tutorials online and programmes in Australia and the USA.
http://www.sconul.ac.uk/activities/inf_lit/links.html

Cilip Information Literacy Group.
Aims to provide a forum across all sectors of the profession, which encourages debate and allows the exchange of knowledge in all aspects of Information Literacy. Presentations from the 2005 LILAC conference can be viewed.
http://www.cilip.org.uk/groups/csg/csg_ilg/index.html
http://www.cilip.org.uk/groups/csg/csg_ilg/lilac05.html

Directory of examples of Information Literacy Tutorials from the USA (Supplied by the Association of College and Research Libraries.)
http://www.ala.org/ala/acrl/acrlissues/acrlinfolit/infolitresources/infolitinaction/il tutorials.htm

2. Research Guides.

Library Research Skills Tutorial.
Provides training in the skills needed to conduct library-based research in the arts, humanities and social sciences. It has been developed for postgraduate researchers by the University of London Research Library Services. Topics covered include: Planning library research, using libraries and referencing
http://www.ull.ac.uk/news/lrst.shtml

Researchers Companion.
Guide produced by the federal University of Surrey. General sections include: searching for materials, accessing materials, evaluating and referencing. Subject specific sections include: education and psychology.
http://www.federalsurrey.ac.uk/researcherscompanion/FIF/title.asp

Companion for Undergraduate Dissertations: Sociology, Anthropology, Politics, Social Policy, Social Work and Criminology
This site provides free access to a survival guide published by the Higher Education Academy's Centre for Sociology, Anthropology and Politics, the Centre for Social Work and Policy and Sheffield Hallam University. It provides useful tips on literature searching skills and preparing a dissertation at undergraduate level. It also includes chapters for lecturers on supporting students and plagiarism. These include case studies of good practice. There is also a glossary of terms and bibliography of further reading.
http://www.socscidiss.bham.ac.uk/

SAFARI

Skills in Accessing, Finding, and Reviewing Information. Basic introductory course in locating information and using libraries. Produced by the Open University Library.

http://ltssolweb1.open.ac.uk/safari/signpostframe.htm

3. References and Citation Guides.

Citing Electronic Resources

This site is maintained by UCL library and provides access to a useful collection of links to Internet resources that offer guidance on how to cite electronic resources in essays and bibliographies. These include information on the correct format for citing resource found on the Internet according to MLA and APA Styles.

http://www.ucl.ac.uk/Resources/Searching/citing.htm

Online! A Reference Guide to Using and Citing Internet Sources

This site contains the full text of a guide for students on how to cite Internet sources in essays and dissertations. It examines four citation styles: MLA, APA, Chicago and CPE, and for each provides guidelines on how to cite and document resources on the Internet such as World Wide Web sites, email messages and discussion list messages. The Guide is compiled by Andrew Harnack and Eugene Kleppinger.

http://www.bedfordstmartins.com/online/index.html

Chicago Manual of Style

Includes some free access and details about how the style operates.

http://www.chicagomanualofstyle.org/tools.html

Open University – database help sheets.

Hints on searching and search options for over 30 key online databases (subscription services). They are those which the OU subscribes to but they provide good examples and may be of use if your Library has the same services. All areas of arts and the humanities and the social sciences are covered.

http://library.open.ac.uk/help/helpsheets/helpsheets.html#ISI

LIBRARY AND INFORMATION PROFESSIONALS' INTERNET COMPANION

Alan Poulter, Debra Hiom, David McMenemy, Facet Publishing, 2005

ISBN 1-85604-509-9

This book is the latest in a series of useful texts published by Facet Publishing which are intended for busy information professionals. The contributors from the Institute for Learning and Research Technology (ILRT) at the University of Bristol and University of Strathclyde use their long and varied expertise to provide a comprehensive reference book on the Internet.

The book is clearly structured. Beginning with brief case studies of ways in which new Internet and information technology can be utilised in the Library and information services environment, it then moves on in part one to provide an informative introduction to key technologies such as the World Wide web, authoring web pages and networking technologies. The text is clearly written, providing clear definitions of terms (without assuming prior technical knowledge) and highlighting key web sites where more information can be located. I found the sections on new technologies such as blogs and wikis particularly useful as an introduction to the subject area, although the wide scope of the subject matter means than more advanced readers might want to pursue some of the suggested references to further reading to find out more, Part two contains a useful indepth look at the way in which library and information services are using the new technology. I particularly liked the way in which it made reference to provision in all sectors (including academic and public libraries) and succinctly highlighted key government reports with clearly indicated pointers on where to find out more. As an introduction to ways in which information professionals can exploit the potential of the Internet it is certainly worth consulting.

Further details about the book, and a list of other titles in the series, can be viewed from the Facet Publishing web site at *http://www.facetpublishing.co.uk/index.shtml*

Heather Dawson.