

An International Journal on Grey Literature



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‘OPEN ACCESS, NEW GREY LITERATURE, AND DATA COMPLIANCE’

GreyNet

The Grey Journal

An International Journal on Grey Literature

COLOPHON

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The Grey Journal is a flagship journal for the international grey literature community. It crosses continents, disciplines, and sectors both public and private.

The Grey Journal not only deals with the topic of grey literature but is itself a document type classified as grey literature. It is akin to other grey serial publications, such as conference proceedings, reports, working papers, etc.



The Grey Journal is geared to Colleges and Schools of Library and Information Studies, as well as, information professionals, who produce, publish, process, manage, disseminate, and use grey literature e.g. researchers, editors, librarians, documentalists, archivists, journalists, intermediaries, etc.

CIP

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About GreyNet

The Grey Literature Network Services was established in order to facilitate dialog, research, and communication between persons and organizations in the field of grey literature. GreyNet further seeks to identify and distribute information on and about grey literature in networked environments. Its main activities include the International Conference Series on Grey Literature, the creation and maintenance of web-based resources, a moderated Listserv, and The Grey Journal. GreyNet is also engaged in the development of distance learning courses for graduate and post-graduate students, as well as workshops and seminars for practitioners.

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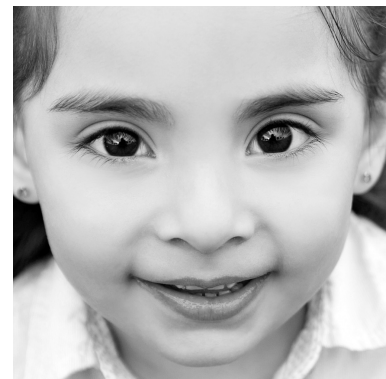
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EDITOR'S NOTE

Twentieth International Conference on Grey Literature *Research Data Fuels and Sustains Grey Literature, 3-4 December 2018*

The definition of research data is as encompassing as the field of grey literature. What should be included and what should be excluded is and remains an issue of concern. Research data can be defined as factual materials collected by diverse communities of practice required to validate findings. While the majority of research data is created in digital format, research data in other formats cannot be excluded. The formats in which research data appear are multiple and the types of research data are diverse. This also holds for the numerous document types in which grey literature appear published.

Today, while emphasis is placed on big data, the fact that the majority of research projects are small to medium size is overlooked. This is but another characteristic that holds true for grey literature. Nonetheless, one should be aware that research publications are not research data, for they are often managed separately from one another. Just as there are a number of stakeholders involved in the production, access, and preservation of grey publications, so too are there stakeholders tasked with the creation and management of research data. Libraries and data management librarians have the responsibility for the curation of the data they collect and preserve. And, it is important to stress the need to maintain appropriate metadata related to research data in order to facilitate their interpretation and further reuse.

Over the past quarter century, grey literature communities have worked diligently to demonstrate how their documents are produced, published, reviewed, indexed, accessed, and further used, applied, and preserved. Today, these communities are now challenged to demonstrate how research data fuels and sustains their grey literature. These communities of dedicated researchers and authors maintain a strong conviction in the uses and applications of grey literature for science and society. Through the years, they have proved willing to share the results of scholarly work well beyond their own institutions. Hence, one can assume they are aware that innovation forfeits with the loss of data as with the loss of information.

The 20th International Conference in the GL-Series seeks to address key issues and topics related to grey literature and its underlying research data.

Dominic Farace,
Journal Editor

How open access policies affect access to grey literature in university digital repositories: A case study of iSchools*

Tomas A. Lipinski and Katie Chamberlain Kritikos (United States)

Abstract

An issue of interest to library and information science (LIS) scholars and practitioners is how open-access policies can affect the access and use of grey literature in university repositories. Open access (OA) refers to research placed online free from all price barriers and from most permission barriers (Suber, 2015), allowing unfettered access to scholarship and promoting open scholarly communication (Banach, 2011; Eysenbach, 2006). OA may apply research published traditionally, such as books (Schwartz, 2012) and academic articles (Suber, 2015), and non-traditionally published grey literature, such as electronic theses and dissertations (Schöpfel & Prost, 2013; Schöpfel & Lipinski, 2012). The treatment of grey literature in university repositories is of particular import due to “the ephemeral and changing nature of grey publication types, editions, and formats” (Rucinski, 2015, p. 548; see Farace & Schöpfel, 2010). The access and use of grey literature in these repositories is often executed through an OA policy. There is a gap in the literature, however, regarding best practices for drafting and implementing OA policies that promote unfettered access to grey literature.

This paper analyzes OA policies from a sample of U.S. iSchools, created by cross-referencing the Directory of North American iSchools (iSchools, 2017) with the top twenty-five best LIS programs as ranked by U.S. News and World Reports (U.S. News, 2017). Initial analysis shows that of the twenty-two iSchools in the sample, all schools have repositories, ten have OA policies in place, and three have proposed OA policies. This project maps five OA policies against variables drawn from the benchmark of open scholarly communication, the Harvard Open Access Project’s “Good Practices for University Open-Access Policies” (Shieber & Suber, 2017).

The goal of this paper is to understand how OA policies at university repositories affect access to grey literature in an ever-changing information landscape. Based on the analysis of the sampled iSchool OA policies and the Harvard variables, it recommends best practices for drafting and implementing OA policies that provide unfettered access to grey literature in repositories.

Keywords: *grey literature, open access, information policy, information access, university repository, best practice, scholarly communication, library science, information science*

Introduction

An issue of interest to library and information science (LIS) scholars and practitioners is how open-access policies can affect the access and use of grey literature in university repositories. Open access (OA) refers to research placed online free from all price barriers and from most permission barriers (Suber, 2015), allowing unfettered access to scholarship and promoting open scholarly communication (Banach, 2011; Eysenbach, 2006). OA may apply research published traditionally, such as books (Schwartz, 2012) and academic articles (Suber, 2015), and non-traditionally published grey literature, such as student electronic theses and dissertations (ETDs) (Schöpfel & Prost, 2013; Schöpfel & Lipinski, 2012).

The treatment of grey literature in university repositories is of particular import due to “the ephemeral and changing nature of grey publication types, editions, and formats” (Rucinski, 2015, p. 548; see Farace & Schöpfel, 2010). Repositories are “digital collections capturing and preserving the intellectual output of a single or multi-university community” (Crow, 2002, p. 1; see also Lynch, 2003). In effect, they serve as “[o]pen archives” that a university or other institution hosts to “control and distribute” research and “become a significant part of scientific communication” (Schöpfel & Lipinski, 2012, p. 21). The access and use of grey literature in these repositories is often executed through an OA policy. There is a gap in the literature, however, regarding best practices for drafting and implementing OA policies that promote unfettered access to grey literature.

To study the impact of the OA phenomenon on LIS scholarly communication, this paper analyzes OA policies from a sample of U.S. iSchools, created by cross-referencing the Directory of North American iSchools (iSchools, 2017) with the top twenty-five best LIS programs ranked by U.S. News and World Reports (U.S. News, 2017). Initial analysis shows that of the twenty-two iSchools in the sample, all have repositories, only ten have OA policies, and three have proposed policy drafts not yet adopted.

This project maps these policies against variables drawn from the benchmark for open scholarly communication, the Harvard Open Access Project’s “Good Practices for University Open-Access Policies” (Shieber & Suber, 2017). The goal is to understand how OA policies at university repositories affects access to grey literature in an ever-changing information landscape. Based on the Harvard variables, it recommends best practices for drafting and implementing OA policies that balance copyright with provide unfettered access to grey literature in repositories.

* First published in the GL19 Conference Proceedings, February 2018.

Literature Review

Open Access and Scholarly Communication

As Margaret (2016) and Bohannon (2013) detail, backlash against the traditional publishing paradigm effected a shift to OA publishing (see also Armbruster, 2008). In 2002, the Budapest Open Access Initiative ("BOAI"), sponsored by the Open Society Institute (now the Open Society Foundations), coined the term "open access" (Ocholla and Ocholla, 2016; Rizzor and Holley, 2014; Harnad, 2011). According to the BOAI, "By '[OA]' to this literature, we mean its *free availability on the public internet*, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, *without financial, legal, or technical barriers* other than those inseparable from gaining access to the internet itself" (Chan et al., 2002, emphasis added). Indeed, among the many factors that inspired the OA movement was the continuously increasing prices of journal and database subscriptions (Dawson & Yang, 2016; Nguyen, 2008).

Based on the BOAI, the OA movement created an online method for publishing scholarly, peer-reviewed journals with free access to full-text articles (Laasko et al., 2011; Harnad, 2011). Many scholars find that OA publishing promotes scholarly communication through the dissemination and use of research and also generates increased author citations and usage statistics (Dawson & Yang, 2016; Harnad et al., 2008; Björk, 2006; Antelman, 2004). In this way, the OA movement promotes unencumbered access to scholarship by promoting open scholarly communication (Eysenbach, 2006) and creating a comprehensive, efficient system for disseminating research findings (Margaret, 2016).

Routes to Open-Access Publishing in Scholarly Communication. It is typical for OA publications to take one of two route, Gold or Green (Dawson & Yang, 2016; Suber, 2015; see also Clobridge, 2014; Neugebauer and Murray, 2013; Willinsky, 2010; Harnad et al., 2008). The route to Gold OA refers to publishing in journals where the journal is itself OA (Harnad, 2011). Authors must often pay article processing charges to these publishers to publish their works openly, instead of behind the tridiagonal publishing paywall of subscriptions or licensing fees (Dawson & Yang, 2016; Harnad et al., 2008; Suber, 2005). Predatory journals and publishers, however, make it difficult for authors to determine their credibility (Al-Khatib, 2016; Dawson & Yang, 2016). Further, works published under Gold OA lacking proper peer review raise concerns about damage to authors' academic reputations and the increased likelihood of article theft or plagiarism (Yang and Li, 2015).

The route to Green OA, on the other hand, refers to self-archiving in open repositories by the *authors* (Harnad, 2011; Harnad et al., 2008). Green OA can avoid the above concerns with Gold OA because works are published in peer-reviewed journals and their authors have the publisher's permission to place them in repositories or on the authors' websites (Dawson & Yang, 2016; Suber, 2005). According to Harnad (2011), "the fastest and surest road to OA is the green road of OA self-archiving" (p. 88). While achievement of Green OA rests in the hands of the authors and can be mandated, it more directly benefits the interests of the research community, unlike Gold OA, which may rests in the hands of a commercial publishers (Harnad, 2011; Harnad et al., 2008).

Open-Access Movement Trends and Issues

OA publishing has disrupted the traditional subscription model in scholarly communication (Laakso and Bjork, 2012). A 2011 study by Laasko et al. found speedy growth in the OA journal publishing industry between 1993 and 2009. A second study by Laakso and Bjork (2012) of OA journal publishing trends between 2000 and 2011 found that mainly professional organizations or scientific societies published OA articles until 2005, after which commercial publishers significantly began publishing OA articles. Additionally, in 2015, Tenopir et al. found that social science faculty increasingly seek, read, and use electronic resources for teaching and research in place of traditional print (Tenopir, King, Christian, and Volentine, 2015).

Despite the OA movement's traction in scholarly communication, it has many unresolved, often fraud-related issues, such as the proliferation of predatory journals and publishers whose sole purpose is to collect article processing charges (APCs) (Al-Khatib, 2016). These OA journals that levy APCs exploit unsuspecting authors who may not be able to determine whether these journals are legitimate (Al-Khatib, 2016) or what author's rights they retain after paying the fee (Carroll, 2011; Bloch; 2005). While most OA journals do not charge APCs, of those that do, the average APC of full OA journals is \$660 USD and that of hybrid OA journals is \$2,500 USD (Morrison, 2017). Troublingly, publishing giant Elsevier, one of the world's largest OA publishers in 2016, is considering the switch to charging APCs (Morrison, 2017).

Regardless of the OA movement's expansion over the last decade, its future role in LIS scholarly communication remains uncertain. While Harnad (2011) advocates Green OA publishing over Gold OA, arguing that, "The money to pay for gold OA publishing will only become available if universal green OA

eventually makes subscriptions unsustainable. Paying for gold OA pre-emptively today, without first having mandated green OA, not only squanders scarce money, but it delays the attainment of universal OA" (p. 86), Rizzor and Holley (2014) assert that in reality, Gold OA has fared better and has more potential for economic stability than Green OA. While commercial publishers have adapted to and even profited from OA, the movement has yet to actually reduce costs for libraries (Rizzor and Holley, 2014).

Grey Literature and University Repositories

Copyright and Creative Commons Licensing. The OA movement creates new copyright and licensing issues for libraries and their repositories (Dawson & Yang, 2016). Because libraries could face copyright challenges when the repositories provide OA to full-text research publications, Dawson and Yang (2016) studied current practices that manage copyright permissions at repositories to help others update their own policies. They found that, "In spite of the enthusiasm for open and web-based access, copyright is one of the major deterrents for participation of faculty and students in repositories" (Dawson & Yang, 2016, p. 290). Thus, librarians play a critical role in educating authors and users about copyright and in obtaining copyright permissions for the repository (Dawson & Yang, 2016).

The BOAI explicitly states that OA applies to any "lawful purpose" (Chan et al., 2002) and does not advocate infringement, expropriation, or piracy of research outputs (Suber, 2005). Due to the OA movement's aspiration to provide free, unfettered access to research, copyright law and licensing should play a limited role: "The only constraint on reproduction and distribution, and *the only role for copyright in this domain*, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited" (Chan et al., 2002, emphasis added). Many OA journal author agreements that allow for Green OA require that subsequent deposit into an institutional repository require citation to the original journal. As Suber (2005; 2002) further explains, OA-published works do not inherently infringe United States copyright law because their legal basis comes from the voluntary consent of newer works' copyright holders or from the expiration of older works' copyright. For such older works in the public domain, there is no risk of copyright infringement and no consent from the copyright holder is needed.

Copyright holders may voluntarily consent to OA of newer works via, for example, a Creative Commons license (Suber, 2005; 2002). As Schöpfel and Lipinski (2012) explain: "The Creative Commons licenses, a 'some rights reserved' approach to copyright, applies to all kinds of creative, educational or scientific content created and owned by individuals, companies or institutions. The basic idea is that the creator keeps the copyright while allowing certain uses of his or her work in a standardized way. The condition is that the author ... owns the complete rights" (p. 20). Author consent through a Creative Commons license covers the "unrestricted reading, downloading, copying, sharing, storing, printing, searching, linking, and crawling of the full-text of the work" – essentially, "all the uses required by legitimate scholarship" (Suber, 2005). Copyright holders that distribute their works under a Creative Commons license may nevertheless place certain restrictions on the use of such works, usually to prevent plagiarism, misrepresentation, or commercial re-use (Suber, 2005). Creative Commons is also used by OA publishers as an alternative to journal distribution (Lipinski and Kritikos, 2017) and would likely be an element of Gold OA. While Creative Commons does not provide a repository service, it supports the creation of content that is readily sharable in networked information environments (Lipinski and Copeland, 2013).

Accessing Grey Literature in University Repositories. Repositories support the OA movement by providing access to the scholarly community's research outputs (Willinsky, 2006; Lynch, 2003; Crow, 2002). Deposited research outputs can include grey literature like ETDs, working papers, and datasets (Schöpfel & Lipinski, 2012; Juznic, 2010). Benefits of housing grey literature in a repository include increased usage of research outputs, showcasing the university's scholarship, workflow simplification, and control over metadata and embargoes (Banach, 2011).

When it comes to the effect of the OA movement and repositories on grey literature, a "crucial question will be the inclusion and use of scientific data in documents, and in particular the intellectual property of datasets" (Schöpfel & Lipinski, 2012, p. 4). According to Schöpfel and Lipinski (2012), the legal status of grey literature with regards to copyright depends on the type of research output (e.g., dissertation, thesis, working paper, data set, etc.) and the prevailing policies, laws, and customs of a particular country (e.g., the United States or France).

Because grey literature is published outside traditional commercial publication channels, publisher policies on self-archiving, embargoes, and other licensing aspects would seem to have little effect on grey literature, but the licensing and copyright of this scholarship can still be complex (Schöpfel & Lipinski, 2012, pp. 21-22). Thus, good OA policies at repositories are essential to manage the rights of authors and institutions while enable the access to and use of grey literature.

Open-Access Policy Best Practices

Harvard University provided the gold standard for OA best practices with its seminal guide “Good Practices for University Open-Access Policies” (Harvard Guidelines), a joint project between the Harvard Open Access Project and the Berkman Center for Internet and Society (now the Berkman Klein Center for Internet and Society) (Shieber & Suber, 2017, 2015). This guide established many OA best practices, ranging from drafting, adopting, and implementing good OA policies. They focus on how “an effective OA policy can build support for OA, as an academic and social good, into standard university policies” (Shieber & Suber, 2015, p. 6). Regarding “good practices” for drafting OA policies, considerations include policy goals, author embargoes, scope of research outputs, user rights, and policy implementation. The guide now lives online as a wiki.

The 2008 policy of the Harvard University Faculty of Arts and Sciences demonstrates the attempt to “build support for OA ... into its standard university policies” (Shieber & Suber, 2015, p. 6). This policy requires authors to deposit their works into open repositories as well as to grant non-exclusive copyright licenses to Harvard, allowing the university to archive and distribute the faculty’s scholarly works (Priest, 2012, p. 391; see also Nguyen, 2008). Many other U.S. universities followed suit (Priest, 2012, pp. 396-397). As Nguyen (2008) describes, the Harvard OA mandate supports equitable access to research outputs and promotes the university as a steward of the dissemination of research and knowledge.

But not all scholars are enamored with it. For example, Priest (2012) reviewed the Harvard OA mandate and found that its legal effect is uncertain at best, complicated by copyright law factors like the work-made-for-hire doctrine (p. 398), policy overbreadth regarding the non-exclusivity of licenses, and transfer of copyright to journal publishers (p. 418), among others. And while the literature reflects attention to, for example, best practices for OA journal publication agreements (see, e.g., Crews, 2016), there is a gap regarding best practices for drafting and implementing OA policies that promote unfettered access to grey literature in university repositories.

Methodology

This case study explores the impact of the OA phenomenon LIS scholarly communication, namely, the access and use of grey literature in university repositories. Case studies are a useful research design because examining and understanding a distinct phenomenon may illustrate a more general problem (Flick, 2014; Creswell, 2013). To create a sample of universities, the authors cross-referenced the iSchool Directory (iSchools, 2017) with the top twenty-five best LIS programs as ranked by *U.S. News and World Reports* (U.S. News, 2017), resulting in an initial sample of twenty-two iSchools.

Table 1. Top ten U.S. iSchools (highlighted rows indicate final sample).

iSchool	Location	U.S. News 2017 Rank	OA Policy	Repository
University of Illinois at Urbana-Champaign	Champaign-Urbana, IL	1	Yes, 5/14/2016	Illinois Digital Environment for Access to Learning and Scholarship (IDEALS)
University of Washington	Seattle, WA	2	Proposed draft, 6/1/2016	ResearchWorks Archive
University of North Carolina-Chapel Hill	Chapel Hill, NC	3	Yes, 5/13/2016	Carolina Digital Repository
Syracuse University	Syracuse, NY	4	No, info about OA only	Syracuse University Research Facility and Collaborative Environment (SURFACE)
University of Michigan-Ann Arbor	Ann Arbor, MI	5	No, info about OA only	Deep Blue
University of Texas-Austin	Austin, TX	6	Yes, 10/31/2016	Texas ScholarWorks
Rutgers, The State University of New Jersey-New Brunswick	New Brunswick, NJ	7	Yes, 10/29/2014	Scholarly Open Access at Rutgers (SOAR); RUCore
University of Maryland-College Park	College Park, MD	8	No, info about OA only	DRUM
Indiana University-Bloomington	Bloomington, IN	9	Yes, n.d.	IUScholarWorks Repository
University of Pittsburgh	Pittsburgh, PA	10	Proposed draft, 9/13/2013	D-Scholarship@Pitt

All iSchools in the initial sample have open repositories. Only ten have OA policies in place and three have proposed policies not yet adopted. Due to considerations of space and based on the successful methodology used for the authors' recent related study of OA journal publication agreements (Lipinski and Kritikos, 2017), the final sample purposefully contains five iSchools (Table 1). All OA policies from the iSchools in the final sample were available online. After data collection, the authors mapped the similarities and differences in the OA policies based on variables drawn from the Harvard Guidelines (Shieber & Suber, 2017), discussed below.

Findings and Discussion

Reconciling Copyright and Open Access

Before discussing the five OA policies and the Harvard Guidelines, two related questions must be addressed: Does the university have a copyright policy that determines who holds the copyright for the works included in its repository? And if faculty hold the copyright of their works, are they instructed to retain their rights in the publication process? Without the alignment of who holds copyright, deposit into the repository may infringe copyright. When the full text of works protected by copyright are made available in repositories, copyright issues may arise that, depending on the format of the work, implicate the exclusive rights of reproduction and display or performance. Someone holds the copyright to those works and if they are deposited without proper permission, liability may result.

Who holds the copyright in works created by authors covered by an OA policy? All five of the OA policies contain a provision that implies that faculty hold copyright. Illinois states that its policy will not transfer ownership and UT-Austin states that authors retain copyright. Rutgers indicates its OA policy "does not alter ownership status." UNC ("where the faculty member holds the copyright") and Indiana ("you must ... confirm[] that you own the copyright") assume that faculty hold copyright. Each university covers copyright in a separate policy (Table 2). Only Illinois, however, references a separate copyright policy in its OA policy. The authors recommend that if a university's copyright policy indicates the copyright status of faculty works, then the OA policy should reference the copyright policy.

Table 2. University policies indicate faculty hold copyright.

	U-Illinois	UNC	UT-Austin	Rutgers	IU-Bloomington
Intellectual property or copyright policy	Yes: "Unless subject to any of the exceptions specified below or in Section 4(c), creators retain rights to traditional academic copyrightable works as defined in Section 2(b) above." General Rules Concerning University Organization and Procedure, 13 (Jan. 19, 2017).	Yes: "The creator of such a work shall own the work unless ..." and "Traditional Works or Non-Directed Works are pedagogical, scholarly, literary, or aesthetic works resulting from non-directed effort." Copyright Policy of UNC at Chapel Hill, 6 (Jan. 1, 2009).	Yes: "... the Board of Regents will not assert an ownership interest in the copyright of scholarly or educational materials ... related to the author's academic or professional field ..." Board of Regents Rule 90101: Intellectual Property, 4 (May 8, 2017).	Yes: "This policy reaffirms the faculty's rights to retain copyright ownership to the scholarly and artistic works they create ..." Policy Section 50.3.7: Copyright Policy (Jan. 18, 2007).	Yes: "Except as provided in section 2.C.v, the University shall assert no claims to copyright ownership in or to distribution of revenue from Traditional Works of Scholarship." Intellectual Property Policy 3 (May 2, 2008).

While each separate copyright policy examined confirms that faculty hold the copyright in the scholarly work each creates, two policies are located in jurisdictions where case law also supports this position (*Weinstein v. University of Illinois*, 1987, p. 1094; *Hays v. Sony Corporation of America*, 1988, pp. 417-418; *Bosch v. Ball-Kell*, 2006, *7). And in the absence of judicial pronouncements, copyright policies are necessary because the U.S. copyright law states that the employer holds the copyright in works created by employees in the course of their employment: "A 'work made for hire' is a work prepared by an employee within the scope of his or her employment" (17 U.S.C. § 101). Faculty retaining copyright for scholarly work product operates as an exception to the work-for-hire rules. Without case law or a copyright policy to set faculty as the holders of copyright, the university holds the copyright to all faculty work product by default.

This default setting raises another question: Are statements in copyright policies that the university “will not assert” or “shall assert no” (UT-Austin and Indiana), that faculty “retain” (Illinois and Rutgers), or that “creator of such a work shall own the work” (UNC) sufficient to alter the default? Perhaps not. The work-for-hire doctrine in the copyright statute dictates the default: Employers hold the copyright in works that employees create in the course of their employment. While the copyright holder cannot waive copyright, it can transfer copyright to another. According to 17 U.S.C. § 204(a), a “transfer of copyright ownership, other than by operation of law, is not valid unless an instrument of conveyance, or a note or memorandum of the transfer, is in writing and signed by the owner of the rights conveyed or such owner’s duly authorized agent.”

A university’s copyright policy, however well-intentioned, probably does not meet the writing requirements for a valid transfer. Scant case law confirms this conclusion: “There must be a sufficient writing to rebut the presumption that the employer retains the copyright in a work made for hire ... It is the employee’s burden to show the existence of a writing granting the employee the copyright in any work made for ... Unwritten understandings or writings not containing the signatures of both parties are insufficient to rebut the presumption” (*Manning v. Board of Trustees*, 2000, p. 980). Transfers of copyright ownership are insufficient.

Assuming that faculty do hold the copyright of their university work product, either by operation of law (statutory or case law) or by valid transfer (policy or legal instrument), are faculty careful when publishing to retain rights sufficient to make the work available in an open repository? Or have they inadvertently signed their rights away via a publication agreement? For example, under Indiana’s policy, faculty submitting an item into the repository are required to affirm that the faculty member holds copyright. But are the faculty aware that they may transfer away important rights as part of the publication process? It is typical for universities to warn that some publication agreements divest faculty of their copyright (Table 3).

Table 3. Faculty awareness and retention of copyright in publication.

	U-Illinois	UNC	UT-Austin	Rutgers	IU-Bloomington
Policy or instructions alerting faculty to loss of copyright in publication process	Yes. Example: “Some publishers require you to sign away your rights to your intellectual property in order to have your research published. In such cases, you may lose all control over further reproduction or distribution of your work.” http://www.library.illinois.edu/sc/services/scholarly_communications/your_rights.html .	Yes. Example: “Keep Your Copyrights: A Resource for Creators. Designed to help creators hold on to their copyrights and to license their rights on author-friendly terms” http://guides.lib.unc.edu/open-access-and-scholarly-communications/managing-rights	Yes. Example: “Depending on the agreement, you may no longer be able to use your work in future publications or teaching, distribute your work to colleagues, or post your work in an online repository.” http://libguides.uta.edu/copyright/authors .	Yes. Example: “Retaining copyright rather than transferring to a publisher may leave the author with more flexibility with respect to future uses, but even if copyright is transferred to a publisher, significant flexibility may be built into the publication agreement ...” https://www.libraries.rutgers.edu/copyright/copyright-academic-research-and-publication .	Yes. Example: “... add to any copyright license (or assignment for scholarly articles) an addendum stating that the agreement is subject to this prior license. That way, you will avoid agreeing to give the publisher rights that are inconsistent with the prior license to IUScholarWorks that permits open-access distribution.” https://openscholarship.indiana.edu/policy-faq
Sample language or addendum	Yes: CIC/BTAA or SPARC.	Yes: SPARC.	Yes: SPARC.	Yes: BTAA.	Yes: BTAA.

In addition, the separate copyright policies reviewed recommend the use of an addendum agreement to secure the continued use of the work by faculty and/or the university (Table 3). Two common addendums are SPARC and CIC/BTAA. The SPARC Author Addendum is “a legal instrument that [authors] can use to modify [their] copyright transfer agreements with non-[OA] journal publishers” that allows authors “to select which individual rights out of the bundle of copyrights [they] want to keep, such as: ... Posting the article on a personal or institutional Web site ...” (SPARC, 2017). The CIC/BTAA is the Big Ten Academic Alliance Statement on Publishing Agreements, which includes the Addendum to Publication Agreements for BTAA Authors (BTAA, 2016). The authors recommend that the university’s OA webpage, not its separate copyright policy, should include instructions and addendums for authors’ rights.

Open-Access Policy Goals and Types

The Harvard Guidelines classifies OA policy into six “types” depending on three variables (Table 4). The first is the disposition of non-exclusive rights (the copyright) in the work. The second is whether deposit in an open repository is required. The final variable is whether, if deposit is mandatory, the OA policy allows faculty to exclude a work via opt-out or waiver. Likewise, if deposit is not mandatory, the policy allows faculty to opt-in.

Table 4. Taxonomy of open-access policy types.

	Type I	Type II	Type III	Type IV	Type V	Type VI
Non-exclusive rights	Granted to university.	Faculty retain (in order that rights can be granted).	No.	No.	No.	Granted to university.
Opt-out/waiver or opt-in for authors	Opt-out.	No.	N/A	N/A	N/A	Opt-in.
Deposit in repository	Required.	Required.	Required (OA or dark).	If publisher permits.	Encouraged.	Not required.

Indiana does not require deposit (i.e., the repository is opt-in but does require faculty to grant a non-exclusive license to the university), which the guidelines classify as Type VI. The other four policies require deposit through a grant of a non-exclusive license to the university and allow a waiver or opt-out, or Type I. These four also allow for an embargo period (Illinois, UT-Austin, and Rutgers for a “specified” time; UNC for a “reasonable period of time”). The embargoed work would still be available in the repository’s metadata, such as in the online catalog. According to the guidelines, the embargo is a “period of dark deposit” (Shieber & Suber, 2015, p. 8) characteristic of Type III. The dominant elements of the four policies remain within Type I, however, with the caveat that there is the possibility for embargo. Rutgers adds that the grant of non-exclusive license is conditioned upon the work not being sold for profit.

Assessment of Open-Access Policy Elements

The framework for assessment of the OA policy elements draws on the variables in the Harvard Guidelines (Table 5). Each policy mentions the repository’s intent or goal. For example, an introductory “whereas” clauses in Illinois expresses that the “Faculty ... committed to disseminating its research and scholarship as widely as possible.” UNC states that reason for its policy is to “disseminate the fruits of its research and scholarship as widely as possible.” Likewise, UT-Austin is “committed to disseminating the fruits of its research and scholarship.” Rutgers (“solely for the purpose of provided and maintaining public access”) and Indiana (“with the goal of providing perpetual access to deposited materials”) focus on the permanency of the repository.

Table 5. Assessment of open-access policy elements.

	U-Illinois	UNC	UT-Austin	Rutgers	IU-Bloom
Date of adoption	October 19, 2015	May 13, 2016	October 31, 2016	October 29, 2014	Not dated
Policy goal / mission statement	Yes: several of the 8 “whereas” clauses expresses intent and purpose.	Yes: “Policy Statement” indicates the reason for grant of license; a later section (“Reason for Policy”) appears to operate as a goals statement	Yes: statement of intent indicates “committed to disseminating the fruits of its research and scholarship”	Yes: statement of intent indicates “solely for the purpose of provided and maintaining public access to them”	Yes: Removal Policy indicates “IUScholar Works has been established as a permanent archive with the goal of providing perpetual access to deposited materials”
Policy type (see Table 1)	Type I	Type I	Type I	Type I	Type VI
Copyright with author	Yes: “This policy does not transfer copyright ownership, which generally remains with Faculty authors under existing University of Illinois General Rules ...”	Implied: “...where the Faculty member holds the copyright under University policy ...”	Yes: “staff members retain their copyright” and “author retains all rights to their work”	Implied?: “Policy does not alter the copyright ownership rights determined in accordance with law or with Rutgers University ... copyright policies”	Required: “you must agree to the ... license, which confirms that you own the copyright to the items”
Includes student research	Not explicit, but theses included via General Rules.	Policy does not indicate.	Policy does not indicate.	Yes: “as well as Rutgers graduate and postdoctoral students, while they are employed or enrolled at, Rutgers”	Yes: “dissertation writers” and “students with authorization from a sponsoring department or faculty member”
Grants university non-exclusive rights Rights are assignable	Yes. Assignable: “and authorize others to do the same”	Yes. Policy does not indicate assignability.	Yes. Assignable: “and authorize others to do the same” for non-commercial “educational, research and personal”	Yes: “provided that the articles are not sold for a profit” Policy does not indicate assignability.	Yes: “grants Indiana University permission” Assignability implied?: “grants ... permission to distribute the items worldwide ... and ... to preserve”
Requires deposit in repository	Yes: “in an [OA] repository”	Yes: “for the purposes of making those articles freely and widely available in an [OA] repository”	Not explicit: “make available [] online”	Not explicit: “grants to ... in any medium ...”	No, at option of scholar: “In order to place your work(s) in IUScholar Works...” and supported by Removal Policy
Deposit version: author accepted manuscript version preferred / final version only if same rights	Yes: “final author’s version post peer review or the final published version.”	Yes: “ordinarily the author’s final edited version”	Yes: “author’s final version” and “final revised version ...after peer-review comments have been incorporated.	Yes: “author’s final version” and “the version that follows formal peer review...as distinguished from the publisher’s branded PDF version”	No: included submitted, accepted and published versions.
Deposit timing: time of journal acceptance preferred	Policy does not indicate.	Policy does not indicate.	Yes: “no later than the date of its publication”	Yes: “no later than the date of its publication”	No: accepts submitted, accepted and published versions.

Author may opt-out / waive policy	Yes: "Upon express direction ... waive application ..."	Yes: "Provost ... will waive application of this policy for a particular article ..."	Yes: "waive application of the license for a particular article" and "functions as an opt-out policy, rather than an opt-in policy"	Yes: "will grant a waiver"	No (deposit is not required so an opt-out or waiver is not necessary).
Allows embargo period / dark deposit	"Yes: "Upon express direction ... or delay access for a specified time"	Yes: "... or delay public access to an article for a reasonable period of time"	Yes: "or delay access for a specified period of time"	Yes: "or delay access for a specified period of time (an 'embargo') upon express direction ..."	Yes: "Embargoes may be set for any period up to five (5) years from the date of deposit"
Includes peer-reviewed articles and conference proceedings	Yes: "scholarly articles"	Yes: scholarly articles are "typically published in scholarly journals"	Yes: "scholarly articles and conference papers"	Yes: "generally refers to peer-reviewed journal articles or conference proceedings created without expectation of payment"	No: "Submitted manuscripts (as sent to journals for peer-review), accepted versions, published versions, supplementary files, including multimedia or datasets, gray literature (conference papers, working drafts, primary evidence), dissertations and theses, negative results or work that will not be finished."
Excludes royalty-producing research	Policy does not indicate other than "scholarly articles that fall outside the scope of copyrightable works described in General Rules III, Sections 4a and 4c"	Yes: "do not include classroom pedagogical material or books sold for profit"	Yes: "does this policy apply to books or book chapters? No ... encourages staff to deposit their book chapters, conference posters and other scholarly output into Texas Scholar Works."	Yes: "not include books, commissioned articles, artworks, popular writings, fiction, poetry or pedagogical materials such as lecture notes and videos, case studies and the like"	Yes: "It is not equipped to support the archiving and/or accessibility of dynamic resources like open web sites, interactive applications, files with complex metadata requirements, authoring tools, or dynamic learning objects."
Excludes research restricted by law (contract or otherwise)	Yes: "any articles for which the Faculty member entered into an incompatible licensing agreement before the adoption of this policy"	Yes: "or subject to a conflicting agreement formed before the adoption of this Policy"	Policy does not indicate.	Yes: "any articles for which the scholar entered into an incompatible licensing or assignment agreement before the adoption of this policy"	Yes: items removed in accordance with "Journal publishers' requirements", or in instances of copyright infringement or plagiarism, libel or invasion of privacy, falsified research.
Rights granted and deposits required are not retroactive	Yes: "outside the scope ... any articles published before adoption of this policy"	Yes: "except for articles authored or co-authored before adoption of this policy"	Yes: "except for any works completed before the adoption of this policy"	Yes: "except for articles completed before the adoption of this Policy"	Policy does not indicate.

Rights granted to university are transferable, i.e., assignable	Implied: "and to authorize others to do the same"	Policy does not indicate.	Implied: "and authorize others to do the same"	Policy does not indicate.	Policy does not indicate.
Allows but does not require open licenses	Yes: OA repository or link to publisher website.	Policy does not indicate.	Policy does not indicate.	Policy does not indicate.	Suggested: "Authors may also consider licensing their works with a Creative Commons License."
Assigns responsibility	Yes: "Campus Senate and Office of the Provost"	Yes: "Scholarly Communications Offices of the University Library or other Office designated by the Provost."	Yes: University Library Director or designee "Scholarly Communications Librarian serves as the Director's designee"	Yes: "Executive Vice President for Academic Affairs (or designee)"	None indicated but, "IU Libraries and Indiana University retain the rights to withdraw any item ... deem such action necessary"
Green OA or Gold OA	Green.	Green.	Green.	Green.	Green.

Works Included in Repositories. As for the types of research that the OA policies include in the university repositories, all but Indiana restrict content to scholarly journal publications (Illinois: "scholarly articles"; UNC: "typically published in scholarly" journals) and, in two instances, to proceedings (UT-Austin: "scholarly articles and conference papers"; Rutgers: "peer-reviewed journal articles or conference proceedings"). As Indiana collects a wide range of materials, there is no restriction limiting submissions to scholarly journals or proceedings. Indiana does, however, exclude the "archiving and/or accessibility of dynamic resources like open web sites, interactive applications, files with complex metadata requirements, authoring tools, or dynamic learning objects." Illinois excludes "scholarly articles that fall outside the scope of copyrightable works" per section III.4. of its General Rules policy.

UNC does "not include classroom pedagogical material or books sold for profit," but the Q&A following its policy contains unclear statements. In reply to "What kinds of scholarship are covered under the policy, it states that replies submissions are limited to "scholarly articles." But it replies affirmatively to two other questions: "I've created scholarly material other than journal articles. May I deposit it in the CDR?" and "May I upload supplementary material that goes with my article?" The response to the latter question notes that "supplementary material, such as additional figures, datasets, or video" can be included and adds that "if you have large files over 500 MB, contact us," which may have more to do with file size than with content. The context of the statement implies that the supplementary material is related to the article itself. Additionally, the Q&A states that, "the CDR will handle and preserve a wide variety of formats and file types," but this may not indicate different kinds of content.

While UT-Austin applies to "scholarly articles and conference papers," it nonetheless encourages faculty to deposit their "book chapters, conference posters and other scholarly output into Texas Scholar Works." Rutgers excludes "books, commissioned articles, artworks, popular writings, fiction, poetry or pedagogical materials such as lecture notes and videos, case studies and the like." Other than Indiana, there does not appear to be attention to grey literature in the OA policies, though the Illinois and Rutgers policies imply that their repositories accept ETDs. Grey literature in repositories is discussed at length below.

Works Excluded from Repositories. All OA policies exclude research published before the effective date of the policy. Illinois excludes "articles published before the adoption of this policy." UNC takes a slightly broader formulation that focuses on the date of authorship: "except for articles authored or co-authored before adoption of this Policy." UT-Austin and Rutgers, respectively, take a similar approach and use near-identical language: "except for any works completed before adoption of this policy" and "except for any articles completed before the adoption of this policy." Indiana does not indicate a date-based restriction, likely because it reflects an intention to collect anything representing the "research, scholarship and intellectual output of the Indiana University community" regardless of when the work was published or first created or authored.

Using almost identical language, Illinois, UNC, and Rutgers indicate exclusion where there is an "incompatible" or "conflicting" agreement entered into before the date of OA policy adoption. In other words, the author signed a publication agreement that transferred the exclusive rights to the work to the publisher or limited the author's exclusive rights. UT-Austin is silent on this issue, and Indiana will remove articles from its repository in accordance with "Journal publishers' requirements." The Removal

Policy section of IUScholarWorks indicates content that “files will be removed ... only under extraordinary circumstances.” In addition to publisher requirements, it will remove files that infringe copyright, contain falsified research or libelous material, or are plagiarizing or an invasion of privacy.

Transfer and Assignability of Author Rights. The Harvard Guidelines suggest that an institution transfer rights back to the authors, but only Indiana and UT-Austin include such language (“authorize others to do the same”). The purpose is “to allow the institution to grant rights back to the author. The effect is that authors retain or regain certain rights to their work, including rights that they might have transferred away in their publishing contracts” (Shieber & Suber, 2015, p. 14). But rights transferred in a valid publication agreement (contract) between author and publisher cannot not be returned (or “regained,” to use the Guide’s terminology) by a third party not privy to the original agreement. Such a return of rights would only be possible where the author granted the publisher non-exclusive rights. If the author granted exclusive rights to the publisher, then the author would have no rights remaining to grant to a third party (university) that could then be granted back to the author.

Assuming that copyright resides with the faculty who grants non-exclusive right to use the work to the university, does this right include assigning rights to another? Illinois and UT-Austin require the assignability of the non-exclusive use right. UT-Austin restricts assignment to non-commercial “educational, research and personal” uses. UNC and Rutgers do not indicate assignability, and Indiana implies a right of assignment: “grants ... permission to distribute the items worldwide ... and ... to preserve.”

Waiver or Opt-Out of Open-Access Policy. Allowing faculty to waive or opt-out of an OA policy does, to an extent, defeat the goal of open repositories. Opting out would exclude works published, authored, or created after the date of OA policy adoption. Unless impractical to discipline, the authors recommend that universities require by policy that faculty publish only in journals that allow, even with an embargo, open repository submission. This mandate might be conditioned on the faculty using one of the suggested addendums like SPARC or CIC/BTAA. In contract, Indiana allows authors to opt in to its OA policy because its repository accepts all types of research for deposit.

Applicable Authors: Faculty, Students, and Staff? All OA policies use the word “faculty.” Illinois applies to works authored “while the creator is a member of the faculty,” as does UNC (“Each Faculty member”). Rutgers includes “faculty” as well as employed or enrolled “graduate and postdoctoral students.” UT-Austin more broadly includes “Each staff member.” Indiana, the more inclusive, includes works authored or published by any “research unit, institute, center, department, or university partner” as well as faculty, staff, dissertators, and students if authorized by a “sponsoring department or faculty member.”

The Harvard Guidelines do not address whether an OA policy should apply to students. Several OA policies, however, specifically include student work. Illinois includes “theses” in its General Rules, and the website for the Illinois IDEALS repository allows deposit of the “research and scholarship” of graduate students. Rutgers’ OA policy applies to “graduate and postdoctoral students” if enrolled or employed by the university. The website for the Rutgers RUCore repository also references “scholarly articles deposited by ... doctoral students and postdoctoral scholars” and “dissertations and theses,” which includes works by masters students. UNC’s Carolina Digital Repository also includes “electronic theses and dissertations,” and the TexasScholarWorks repository at UT-Austin references “electronic theses and dissertations” (Table 6). Indiana does not include theses but does include “dissertation writers.” Oddly, the broader IUScholarWorks repository website states that all “graduate students may submit their thesis or dissertation.” Moreover, Indiana’s repository includes a broader array of student work when authorized by a “sponsoring department or faculty member.”

Version and Timing of Scholarly Submissions. Illinois, UNC, UT-Austin, and Rutgers accept only the post-peer-review, final pre-publication version of a work for deposit in the repository. Indiana accepts the submitted, accepted, and published versions of articles. The versions submitted are thus unpublished, rather than a PDF or link to the final published article. Most OA journals that allow repository submission, however, require citation to the original journal publication (Lipinski and Kritikos, 2017). The citation information would not be on the final pre-publication version, so adding citation information to the metadata and institutional repository copy is necessary. Furthermore, if Gold OA is desired, policy or practice need to accommodate the addition of citation information to repository submissions. Only UT-Austin and Rutgers indicate the timing of the submission to the repository (“no later than the date of its publication”).

Responsibility for Open-Access Policy. The final element discussed in the Harvard Guidelines is whether the policy indicates responsibility for administering the OA policy. Illinois (Provost and Faculty Senate) and Rutgers (Vice-President) place responsibility at a very high level, signifying OA’s importance on campus. UNC and UT-Austin both logically place the responsibility with the Scholarly Communications Office or librarian. The Indiana policy is not explicit, but since the “IU Libraries and Indiana University

retain the rights to withdraw any item ... deem such action necessary," it is logical that the responsibility for administering the OA policy also resides in the campus library.

Accessing Grey Literature in University Repositories

As mentioned above, except for Indiana, the OA policies do not specifically refer to grey literature. Illinois applies to "scholarly articles," which could include grey literature such as unpublished papers; however, the policy further states that the articles submitted to the repository should be the "final version of the article (i.e., the final author's version post peer-review or the final published version where possible)." Elsewhere, the policy indicates that if submission is not possible, "a Faculty member may instead notify the University of Illinois that the article will be ... made available via a link to public access versions of those articles on publisher websites."

Likewise, UNC refers to "scholarly articles," defined as "articles that are typically published in scholarly journals where the Faculty member holds the copyright under University policy and where members of the Faculty are authors or coauthors." Again, the focus is on the published version. Oddly, the purpose of UNC's policy is "to disseminate the fruits of its research and scholarship as widely as possible," which suggests a broader range of works (not all research and scholarship is published). It also suggests that the repository only includes the final versions of articles accepted for publication (not working papers). As some disciplines rely on grey materials, it does not appear that Illinois and UNC repositories are reliable sources of grey literature.

UT-Austin states a "commitment to disseminate the fruits of its research and scholarship as widely as possible." The TexasScholarWorks repository includes "scholarly articles" and "conference papers—also called conference proceedings," though the repository submission should be the "final version of each work" or the "final version of their article or conference paper (in PDF format)" – earlier versions are not accepted.

Only Indiana specially mentions grey literature and accepts a broad array of submissions to the IUScholarWorks repository, which allows for variation across disciplines as "academic units decide what content to put into their respective communities." Specifically, the OA policy indicates that the repository can include "[g]rey literature (conference papers, working drafts, primary evidence)," as well as earlier versions of articles ("[s]ubmitted manuscripts (as sent to journals for peer-review)"); incomplete works ("[n]egative results or work that will not be finished"); "[d]issertations and theses" (see also Schöpfel & Prost, 2013; Schöpfel & Lipinski, 2012); and "[s]upplementary files, including multimedia or datasets."

Notably, the Revisions Policy for IUScholarWorks further suggests that revisions of works can be included ("[r]evisions to submitted files may only be made to correct typographical, grammatical and spelling errors"). If there needs to be "substantial revisions of findings, facts, etc." and "authors have substantially reworked the content and wish to make a newer version available, they are encouraged to submit the new or revised version as a new item." Thus the repository may house many iterations of a single work, an important consideration for the work's historical record of development.

As discussed above, three OA policies include theses (Illinois) and dissertations (Indiana and Rutgers' graduate and postdoctoral students). Examining the repositories' websites shows that all actually house ETDs and other types of grey literature (Table 6).

Table 6. Treatment of grey literature in university repositories.

	U-Illinois	UNC	UT-Austin	Rutgers	IU-Bloom
ETDs	IDEALS: "... graduate students can deposit their research and scholarship—unpublished and, in many cases, published—directly into IDEALS." Link: https://www.ideals.illinois.edu/	Carolina Digital Repository: "... Electronic Theses and Dissertations ..." http://blogs.lib.unc.edu/cdr/index.php/about/policies-guidelines/	Texas ScholarWorks: "UT Electronic Theses and Dissertations. Content: Electronic theses and dissertations (ETD)" https://repositories.lib.utexas.edu/pages/policies_collections	RUCore: "dissertations and theses ... are ... added to RUCore ..." https://rucore.libraries.rutgers.edu/etd/ Scholarly Open Access at Rutgers: "SOAR gathers, and makes available globally via the internet, scholarly articles deposited by ... doctoral students, and postdoctoral scholars." http://soar.libraries.rutgers.edu/about-soar	IUScholarWorks Repository: "graduate students may submit their thesis or dissertation to IUScholarWorks ..." https://scholarworks.iu.edu/deposit#etd

Datasets	IDEALS: "distribute ... other research material." https://www.ideals.illinois.edu/	Carolina Digital Repository: "... Datasets ..." http://blogs.lib.unc.edu/cdr/index.php/about/policies-guidelines/	Texas ScholarWorks: "UT Faculty / Researcher Work. Content: ... collections of digitized data ..." https://repositories.lib.utexas.edu/pages/policies_collections	RUcore: "RUcore... will include: ... data sets ..." https://rucore.libraries.rutgers.edu/about/include.php	IUScholarWorks Repository: "individual research files (... data set ...)" https://scholarworks.iu.edu/deposit#research Knowledge Base: "primary evidence" https://kb.iu.edu/d/auj
Working papers	IDEALS: "distribute their working papers ..." https://www.ideals.illinois.edu/	Carolina Digital Repository: "... Unpublished Scholarly Works ..." http://blogs.lib.unc.edu/cdr/index.php/about/policies-guidelines/	Texas ScholarWorks: UT Faculty / Researcher Work. Content: ... white papers ..." https://repositories.lib.utexas.edu/pages/policies_collections	Scholarly Open Access at Rutgers: "'scholarly articles' generally refers to ... working papers ..." http://soar.libraries.rutgers.edu/about-soar	Knowledge Base: "working papers" https://kb.iu.edu/d/auj
Other outputs	IDEALS: "distribute ... technical reports, or other research material." https://www.ideals.illinois.edu/	Carolina Digital Repository: "... Research Materials Learning Materials Institutional Records ... Audio or Visual Files" http://blogs.lib.unc.edu/cdr/index.php/about/policies-guidelines/	Texas ScholarWorks: "UT Faculty / Researcher Work Content: Peer-reviewed pre-print articles ... technical reports ... presentations ... field notes, etc." https://repositories.lib.utexas.edu/pages/policies_collections	RUcore: "RUcore ... will include: ... photographs ... digital video and audio, preprints, technical reports, grant reports, etc. ..." https://rucore.libraries.rutgers.edu/about/include.php	IUScholarWorks Repository: "thematic collection (i.e. workshop series presentations, lab publications, entire conference proceedings, etc.)" https://scholarworks.iu.edu/deposit#research

Table 6 indicates that the repositories collect a wide array of grey literature related to underlying research, such as "primary evidence" (Indiana), "other research material" (Illinois), "works of a scholarly nature" (UNC), datasets (UNC, Rutgers, Indiana), "collections of digitized data" (UT-Austin), other "research materials" (Illinois, UNC), "field notes" (UT-Austin), and lab publications (Indiana). Additionally, most repositories house works falling outside mainstream serial publications, such as working papers (Illinois, Rutgers, Indiana), white papers (UT-Austin), technical reports (Illinois, UT-Austin, Rutgers), and grant reports (Rutgers). Some repositories also include broader educational materials and other formats, such as "learning materials" (UNC), "audio or visual files" (UNC), "digital video and audio" (Rutgers), photographs (Rutgers), pre-print articles (UT-Austin), presentations (UT-Austin), "workshop series presentations (Indiana), entire conference proceedings (Indiana), and even "institutional records (UNC).

While free dissemination and access to all scholarship is the goal of the OA movement, the OA policies examined in this case often restrict deposits to the final versions of published scholarly articles, perhaps because both the Harvard model OA policy (Harvard OSC, 2015) and Harvard Guidelines refer to the "final version" of "the accepted author manuscript" (Shieber & Suber, 2015, p.10). Several OA policies do include student works, but ETDs form only a small part of the grey taxonomy. In contrast, the websites for the general institutional repositories do include a broad array of grey literature.

Recommendations and Conclusion

An OA policy should apply to all persons within the university community engaging in scholarship, not just to faculty. Many OA policies also restrict submissions to university repositories to the final versions of works published in scholarly publications, though some include conference proceedings. These policies also restrict submissions to works created by faculty or, in some cases, doctoral students, but in

some disciplines and institutions, graduate and even undergraduate students engage in publishable research (see, e.g., UWM, 2017).

The university repositories themselves, however, accept a broader range of works and accommodate grey literature, providing access to robust and diverse collections of scholarship published outside of traditional channels. Often a separate repository or policy relates to ETDs. The authors recommend that OA policies should refer to the repositories and attendant policies. Further, OA policies should refer to a university's copyright policy where it indicates the copyright status of works created by faculty or students. The authors recommend that OA policies include copyright policy information on the retention of authors' rights sufficient to allow inclusion in an open repository, referring to or providing examples of addendums like SPARC or CIC/BTAA. Depending on the circumstances, a university could require that faculty publish only in journals that allow, even with an embargo period, for OA repository inclusion.

The access and use of grey literature in university repositories play a vital role in LIS education, research, and scholarship. Alongside a review of the literature on the OA movement, this case study mapped the OA policies in current use in at five U.S. iSchools against variables drawn from the Harvard Guidelines. Analysis of the sampled agreements reveals best practices for OA policies that balance copyright with unfettered access to grey literature.

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Law, Liability, and Grey Literature: Resolving Issues of Law and Compliance*

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Abstract

Grey literature faces a number of unique challenges when facing issues of liability and compliance with local, national, and international law. Conference and symposium proceedings, white papers, reports, newsletters, and other forms of grey literature often do not have the same legal support as journals, monographs, and other, more formal publications. This can create problems of compliance and liability. Grey publications often include works authored, edited, translated, compiled, or otherwise modified by many people affiliated with multiple institutions, sometimes in several countries. In the process of producing and distributing grey literature, its producers may be confused about, or even unaware of, legal issues such as copyright ownership, authors' and editors' rights, official affiliation, licensing, and distribution. As a result, grey publications may often be at odds with local, national, and international laws and regulations. This in turn may have the unfortunate and unintended consequence of making the producers of grey literature legally liable for damages. This paper proposes a model for identifying potential legal problems, obtaining proper legal counsel, and limiting liability for authors, editors, and distributors of grey literature. Like other publications, grey literature exists within multiple systems of law and regulation. These systems may include institutional policies and regulations, laws at every level, and the formal and informal networks of researchers, authors, editors, distributors, and others affiliated with grey publications. This paper presents a model based on systems theory to approach the problem. The model offers practical means by which producers of grey literature can identify and address these issues before they become problems, and thus minimize noncompliance and avoid liability. The resources necessary for implementing this model are usually minimal. The primary expense may be the use of human resources affiliated with sponsoring institutions. This may include administrators, legal counsel, and other personnel not directly involved with the production of grey literature. Other resources, such as Creative Commons licenses, are available at no cost. The result of implementing the model will be publication of grey literature that is in compliance with local, national, and international law, as well as with institutional policies and regulations. This will minimize or eliminate liability for violation of such laws and regulations by researchers.

Compliance Challenges to Grey Literature

Despite, or perhaps because of, its prevalence, grey literature faces some challenges that differ from those of works published through more traditional venues. One important, but often neglected, challenge to the dissemination of grey literature is the issue of compliance. Because of the nature of both its production and its dissemination, grey literature can face complex issues of compliance due to regulatory protocols, publication type and format, relationships between authors and editors, and concerns regarding licensing and distribution. Researchers whose works appear in grey literature, and distributors of grey literature, often are unfamiliar with the legal and regulatory requirements necessary to remain in compliance with law and policy.

Compliance requires knowledge of a variety of factors, many of which vary with location, type of publication, and institutional affiliation. Local, national, and international law are certainly to most obvious set of regulations influencing compliance. Schöpfel and Lipinski¹ provide an excellent summary of the legal issues surrounding the production and dissemination of grey literature. Law, however, is only one factor for authors and distributors to consider. Institutional policy can have a significant impact on this issue as well. Many universities, research centers, and other institutions have requirements for researchers, authors, and distributors. For example, an institution may require authors to deposit a copy of any published research in the institutional repository regardless of where or by whom it is published. Standards of various types also influence the compliance of grey literature. These may take the form of International Organization for Standardization (ISO) standards, as well as standards specific to a disciplinary area, institution, country or region, professional organization, or other body.

Laws and other regulations are not the only factor influencing regulatory compliance for grey literature. What we call "grey literature" now exists in multiple formats and types of publications. These include works containing images, sounds, video, and other media, as well as datasets.² In addition, because of

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¹ Joachim Schöpfel and Tomas Lipinski, "Legal Aspects of Grey Literature." *The Grey Journal* 8.3 (2012): 135-153.

² Tomas Lipinski and Katie Chamberlain Kritikos, "Copyright Reform and the Library and Patron Use of Non-text or Mixed-Text Grey Literature: A Comparative Analysis of Approaches and Opportunities for Change." *The Grey Journal* 12.2 (2016): 67-81.

the increasing internationalization and interdisciplinarity of research, grey literature involves multiple types of authors. These may include sole, group, and corporate authors, often from multiple institutions, nations, and legal jurisdictions. Some of the other legal and regulatory considerations include copyright and permissions, obtaining official affiliation from an institution or organization, licensing, and distribution. These factors influence each other and form a complex system of relationships among regulatory requirements, researchers and other associated personnel, and the content and format of the information in question (please see Diagram 1).

Diagram 1: Challenges to Compliance



Consequences of noncompliance

Noncompliance with legal and regulatory requirements surrounding grey literature may have several negative consequences for researchers, publishers, and distributors. The most obvious negative impact of noncompliance is being unable to disseminate information legally. As a consequence, personnel and institutions involved could find themselves liable for civil and even criminal penalties. This legal liability has the potential to lead to lawsuits as well as financial and other penalties. Noncompliance with institutional policy may likewise negatively impact researchers, authors, and distributors by placing them at risk of disciplinary action. Finally, a very real negative consequence of noncompliance with legal and regulatory obligations is that such action can lead to mistrust among collaborators. Individual contributors may each have unique institutional requirements. Not accommodating these obligations has the potential to foster hard feelings and mistrust among the researchers involved in a project.

Resources for Compliance

Human Resources

Fortunately, a wide range of resources exist to assist in the creation and dissemination of grey literature in compliance with law and policy. The first system to consider are human resources. This includes of course the researchers, authors, and editors involved with a work. Depending on the content and format, other personnel involved with a work may include those involved with data visualization, website development, video production, and other technological support. These personnel are often an excellent resource not only for their direct roles within a research project, but also as a source of information about the legal and regulatory requirements surrounding their contributions.

Two other groups of personnel can also provide important and useful assistance in creating compliant grey literature: institutional administrators and legal counsel. Administrators are not only familiar with policy, but also are usually able to interpret or even create policy. In this role, such administrators can be extremely useful to identify the institutional obligations of researchers, authors, editors, and other contributors. If an administrator is unfamiliar with a specific policy, for example any requirement to deposit research in an institutional repository, the administrator is usually at least able to locate any relevant policy and to make a referral to the person or office who can provide the best assistance. Likewise, institutional legal counsel is often available to provide advice on compliance. Many institutions and organizations retain permanent legal counsel to provide such advice. Depending on the nature of the specific law or regulation, authors and editors may wish to consult with an institutional attorney for specific legal advice.

Advice and other assistance from institutional personnel can be a valuable resource for compliance. This assistance may not incur a cost to the research project, although this is not always the case. Sometimes there may be costs associated with use of human resources. It is best to find this out when first planning a research project. Determining if this assistance will require a cost in advance will permit researchers to calculate the time and cost of consultation, and to include these costs in the budget of a research project. In some cases, costs might be included in a grant application or similar proposal for funding.

Copyright and Standards

Fortunately, many resources for legal compliance are freely and readily available on the Internet. National and international copyright law are the most obvious of these resources. Many jurisdictions provide not only laws and regulations governing copyright and permissions, but also include accompanying information, as well as any required forms. The European Union, the United Kingdom, and the United States are good examples of jurisdictions with considerable relevant content freely available on the Internet. Legal information from other jurisdictions, including copyright law for most countries, is readily available and easily discoverable through internet search engines. In addition to law, another extremely useful international resource for compliance is information regarding standards. The International Organization for Standardization (ISO) offers information relevant to a wide range of scholarly and technological activities (please see Appendix for a list of resources with ULRs).

Creative Commons

Creative Commons offers authors and editors a wide range of pre-written agreements that both allow creators to control how their content is used, as well as permit distributors of content to remain in compliance with copyright law. These free resources provide a simple solution for sharing information according to whatever conditions may be required or desired (please see Appendix for a list of resources with ULRs). Myška presents researchers with a useful overview of the use, benefits, and limits of recent Creative Commons licenses in her 2015 article.³

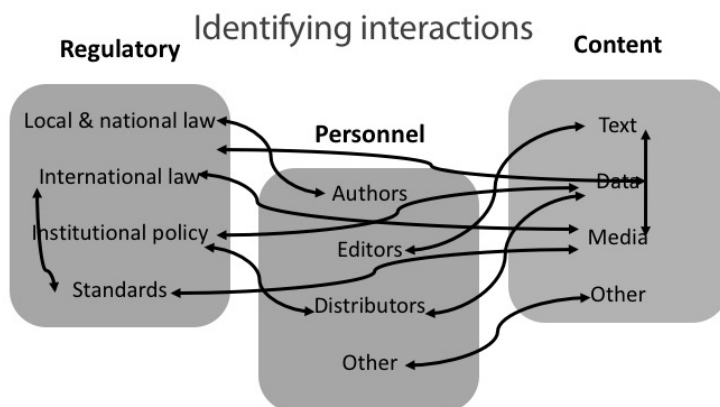
SPARC

The Scholarly Publishing and Academic Resources Coalition (SPARC) is a key player in the Open Access (OA) movement. SPARC's goal is "to enable the open sharing of research outputs and educational materials in order to democratize access to knowledge, accelerate discovery, and increase the return on our investment in research and education."⁴ In addition to advocacy for OA, SPARC offers valuable free resources for creating and distributing compliant information. The Author Addendum to maintain OA rights is useful for authors whose home institutions require deposit of research in institutional repositories, as well as anyone who wishes to retain OA rights. SPARC also provides resources for alternative PA publishing models that are highly relevant for the dissemination of grey literature (please see Appendix for list of resources with ULRs). Researchers will find that Schöpfel offers a useful analysis of the impact of the OA movement on grey literature.⁵

Creating Compliance: Identifying System Interactions & Solutions

How can researchers best create and distribute grey literature that meets statutory and regulatory requirements? The most effective way of doing this is to identify the interactions of a project, and then to identify the solutions to potential obstacles posed by those interactions. These interactions are most easily visualized as an open system in which elements of multiple subsystems interact (please see Diagram 2).

Diagram 2: System Interactions



³ Matěj Myška, "The New Creative Commons 4.0 Licenses." *The Grey Journal* 1, Special Winter Issue (2015): 58-62.

⁴ "SPARC: Who We Are" (<https://sparcopen.org/who-we-are/>), accessed 10/1/2017.

⁵ Joachim Schöpfel, "Document Supply of Grey Literature and Open Access: Ten Years Later." *Internet and Document Supply* 43.2 (2015): 84-93.

This model includes three subsystems. The first is regulatory, including local, national, and international law; institutional and organizational policy; and professional, industrial, and technical standards. The second subsystem consists of personnel involved in a work. This includes authors, editors, and other researchers, as well as personnel involved with distribution, technical support, and consultation. The third subsystem involves of the content of a work, including not only its intellectual content, but also its format, including whether the work contains text, media, data, or other material.

This systems model permits us to easily view possible interactions among these various components of the system. Some theoretical examples demonstrate how this model operates. For example, an author (Personnel subsystem) may be affiliated with an institution whose policy (Regulatory subsystem) requires deposit of research in an institutional repository. As another example, a work may be in the form of a video recording (Content subsystem). The distributor of this work may require that it comply with specific technical standards for quality (Regulatory subsystem). A third example involves distribution of a work including data (Content subsystem). If this data was the result of research funded by a national granting agency, there could be a statutory legal requirement that it be made available in an OA repository (Regulatory subsystem). In one last example, a work contains audio material (Content subsystem). Both institutional policy of its supporting organization and national law could require that audio content also include text captions (Regulatory subsystem). The arrows in Diagram 2 demonstrate a few of the many possible interactions that this model can present.

Identifying Compliance Solutions

The systems model of interactions between the Regulatory, Personnel and Content subsystems permits authors and distributors of grey literature with an effective means of identifying both the interactions that require compliance, as well as solutions for achieving compliance. Several of these solutions have already been mentioned. One set of solutions are found in statutory and regulatory law and policy governing copyright, permissions, licensing, and standards; much of this is readily available on the Internet (please see Appendix). Services and projects such as Creative Commons and SPARC offer free, convenient, and easy-to-use solutions for copyright, licensing, permissions, and author agreements. Another group of compliance solutions includes consultation with personnel. This may include not only conferring with researchers, authors, and editors involved with a project, but also with personnel providing technical support such as data visualization, website development, and media production. Finally, institutional administrators and legal counsel may also provide valuable feedback; in some cases, their support or advice may be required.

The best time to identify potential problems with legal and regulatory liability is in the early planning stage of a research project. Unfortunately, all too often researchers wait until a project is complete, the final report is written, and they are ready to distribute the report, only to discover that the project is missing one or more elements necessary for compliance. This can result in a last minute scramble to secure author permissions, to meet legal or institutional requirements for compliance with standards, to consult with counsel or administrative authorities, or to secure an appropriate copyright license. Early planning using the systems model for identifying interactions and potential compliance issues will permit researchers to incorporate solutions into projects from the beginning. As a consequence, the necessary elements for legal compliance will already be in place by the time a work is ready for dissemination.

Conclusion: results of compliance

Researchers, authors, editors, and distributors of grey literature have an obligation to disseminate works that meet a wide number of legal, institutional, and professional requirements. Addressing regulatory, personnel, content, and format challenges will result in distribution of grey literature that is:

- In compliance with local, national, and international law
- Meets requirements of institutional, organizational, and professional policies and regulations
- Supports the needs of all personnel involved

This compliance will minimize or eliminate liability for researchers, distributors, and others involved in production and distribution of grey literature. The key factor for producing compliant information is an awareness of the range of possible legal and regulatory issues surrounding a research project. The systems model of interactions between legal and regulatory issues, personnel, and content offers scholars a useful and effective tool for identifying both potential problems as well as practical solutions.

Appendix:

Copyright and Standards

- European Union: <https://ec.europa.eu/digital-single-market/en/policies/copyright>
- International Standards Organization (ISO): iso.org
- Italy: <http://www.normattiva.it/uri-res/N2Ls?urn:nir:stato:legge:1941-04-22;633!vig>
- United Kingdom: https://www.copyrightservice.co.uk/copyright/p01_uk_copyright_law
- United States: copyright.gov

Creative Commons

- Creative Commons: <https://creativecommons.org>
- License options for use and commercialization: <https://creativecommons.org/share-your-work/>

SPARC

- SPARC: <https://sparcopen.org>
- Author Addendum to maintain Open Access rights: <https://sparcopen.org/our-work/author-rights/>
- Alternative OA Publishing Models: <https://sparcopen.org/our-work/alternative-publishing-models/>

Video is the new Grey*

Bastian Drees and Margret Plank (Germany)

Abstract

Conference reports are a crucial source of information as they document the current state of research in a scientific community. Additionally, it is becoming more and more common practice to record and publish conference talks. These videos are an important element of contemporary scientific output. However, no sustainable standard has yet been established for handling these media types. While libraries have well-established procedures for collecting textual conference reports as part of the grey literature, comparable procedures for audio-visual conference recordings have not yet been established.

1. Introduction

Conference reports and conference proceedings are a crucial source of information as they document the current state of research in a scientific community. Moreover, these documents are mostly grey literature. However, in addition to printed conference proceedings, it has become more and more common practice to record and subsequently publish conference talks. As such, these videos are also an important element of contemporary scientific output and thus part of the cultural heritage. However, no sustainable standard has yet been established for handling these documents. Essentially, all of these videos are either published on commercial platforms like YouTube or Vimeo, on the conference webpage or not at all. Therefore, they are truly grey material.

While libraries have well-established procedures for collecting textual conference reports as part of the grey literature, comparable procedures for audio-visual conference recordings have not yet been established. On the other hand, according to the Meeting & EventBarometer 2016 [GCB 2016], more than half of the hosts and organizers express a need for action in setting up virtual platforms that complement the real life event.

Against this backdrop, we conducted an analysis of the needs and demands of conference hosts, organizers and service providers regarding audiovisual recordings. Qualitative interviews were conducted among 36 respondents to find out how widespread conference recordings are in engineering and the natural sciences. The aim was to determine the status quo and future demand concerning the production, publishing and re-use of conference videos. Furthermore, we wanted to obtain information on the use of these materials and about potential needs for support.

Here we present the results of the interviews (section 2) and report how these findings are used to improve the existing services of TIB and to extend the range of services offered (section 3). Regarding the first aspect, the results of this study are especially used to improve the workflows and services offered in the TIB AV-Portal (<https://av.tib.eu>), a web-based platform for quality-tested scientific videos such as conference recordings. Regarding the second aspect, TIB has decided to establish a conference recording service which will start operating in 2018.

2. Results of the Study¹

Building on a large scale study performed by TIB regarding the *information procurement and publishing behaviour in science and technology* [Einbock 2017], we conducted an analysis of the needs and demands of conference hosts, organizers and service providers regarding audiovisual recordings. For this purpose, we prepared a questionnaire as an interview guide that was used in the interviews. The questionnaire asks for the status quo in production and publication of conference recordings, as well as for problems and requirements. Qualitative interviews were conducted among 36 respondents to find out how widespread conference recordings are in engineering and the natural sciences. Furthermore, we wanted to obtain information on the use of these materials and about potential needs for support. The 36 respondents can be divided into three different groups, namely conference hosts, conference organizers and service providers for audiovisual recordings, i.e. non-profit or commercial video production services. Among the respondents, 20 were in the first group (hosts), ten in the second (organizers) and six in the third group (AV service providers; cf. Fig.1).

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¹ Survey results available at: <https://doi.org/10.22000/64>

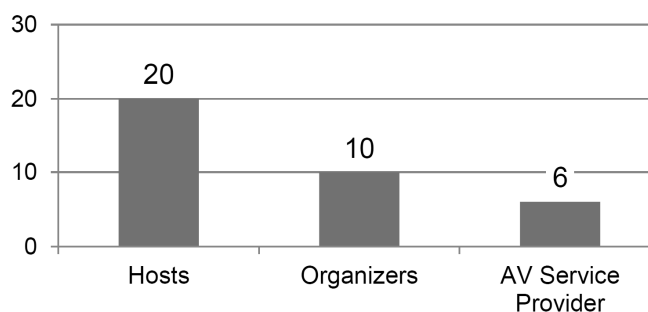


Fig. 1: The 36 respondents can be divided into three different groups, namely conference organizers, conference hosts and service providers for audiovisual recordings. Among the 36 respondents, 20 are conference hosts, ten are conference organizers and six service providers for audiovisual recordings.

2.1 Status quo of conference recordings

We asked the 30 conference hosts and organizers whether they already recorded the conferences in the past or if recordings were planned for the future (note: AV service providers were not asked this question as all of them produce video recordings). Almost half (47%) of the respondents stated that they already produced conference recordings (40%) or are planning to do so in the future (7%); see Fig.2 (top). The results differ largely depending on the subject areas of the conference. Ranging from 33% in chemistry to 89% in computer science; cf. Fig.2 (bottom).

Interestingly, these numbers show a similar trend as can be observed in the level of dissemination of open access publications in the respective field [Köhler 2017, Piwowski 2017, Archambault 2014]. Köhler 2017 reports that biology and medicine have the widest coverage of open access publications followed by mathematics and physics and chemistry being the discipline with the fewest open access articles. While this agrees with the ranking order observed in our survey, two disciplines differ from this order. Engineering and computer science are disciplines in which we found conference recordings to be widespread while Köhler reports that these disciplines have fewer Open Access publications. This correlation may be explained by the existence of different scientific cultures regarding the free sharing of research results. The two outliers may be explained in the way that both disciplines have a strong focus on conferences and therefore also have a larger number of conference recordings. However, the reasons for the subject-specific differences in both open access publications and conference recordings need to be examined more closely in order to be able to make reliable statements about the topic.

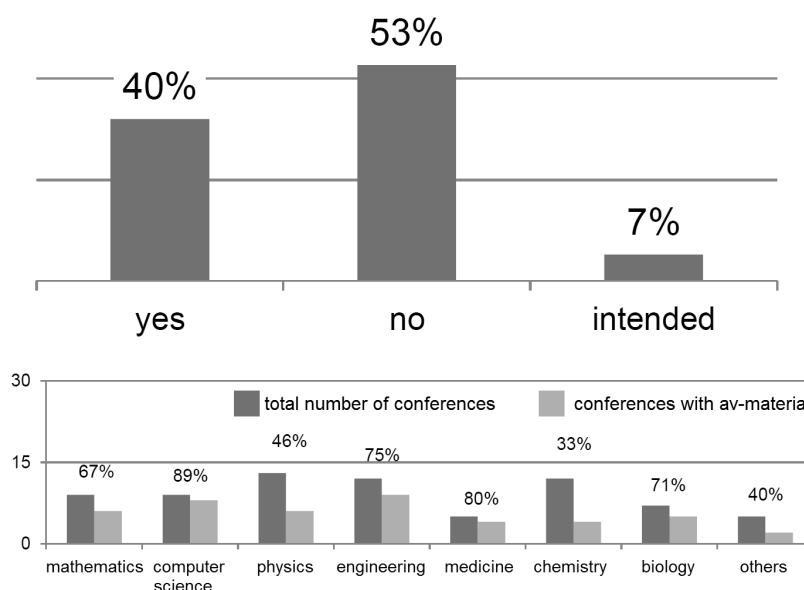


Fig. 2: Almost half (47%) of the respondents stated that they already produced conference recordings or are planning to do so in the future (top). The results differ largely between subject areas, ranging from 33% in chemistry to 89% in computer science (bottom)

According to the survey, opening events, workshops and panel discussions are recorded in addition to classic conference talks (see Fig. 3). The number of talks at scientific conferences varies between 10 and 300. Many organizers reported that they did not have sufficient financial resources regarding personnel

and technology for production and post-production of the recordings. For cost reasons they often decide to have only the most important plenary talks recorded in full and to have them edited. 54% of the respondents that produce recordings stated that they also provide livestreams. Further respondents would like to create livestreams as well, but for cost reasons decide against it.

As reported by the respondents, no common standards have yet been established for the production process itself. Standards can be, for example, how many cameras and microphones are typically recorded and how the cameras are placed. Sometimes the camera only records the speaker and sometimes with an auditorium in the picture. In some cases cameras are positioned in a static manner, while in other cases they move along with the speaker. There are also respondents who film slides and presenters with the same camera, while other record the speaker and the presentation signal separately. For this purpose, a video signal (lecturer) and an HDMI signal are combined.

The most common publishing platforms are the corresponding conference website (92%) and YouTube (46%); cf. Fig.4 (top, left). Some of those interviewed said that they tried to develop a business model which provided the videos onto a password-protected member area, offering packages for a certain amount of money per talk. However, this business model was not accepted by the users and therefore they decided against this model.

If a licence is assigned at all, the freely accessible AV recordings use Creative Commons licenses². It is taken for granted by most of the respondents that the speaker's permission to publish the video must be obtained. When it comes to formats, a standard Full HD video format (e. g.. mp4,. flv/. swf,. mov) is used in most cases.

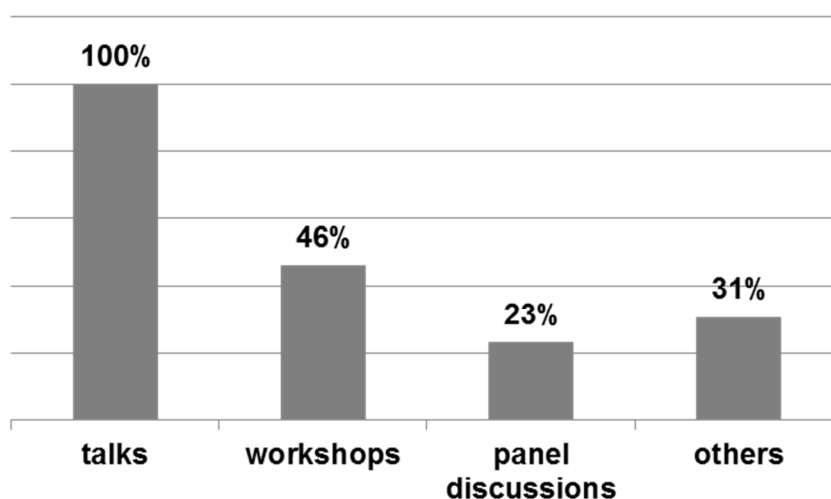


Fig. 3: If conference recordings are produced, conference talks are always among the events recorded. Additionally, opening events, workshops and panel discussions are also recorded in many cases.

None of the respondents said they used persistent identifiers (DOI); cf. Fig.4 (top, right). The addition of Metadata and subtitles is only common practice among conference hosts (80%) and not among conference organisers. Also none of the previously mentioned groups said they published the data as linked-(open)-data in e.g. standard RDF (Resource description framework), so that they are machine readable and can be used by third parties. The interviewed conference recording service provider reported that they carried out post-production to a certain extend such as description of the AV Media in standard RDF (33%) and tagging (50%). Moreover it is implicitly assumed by all groups that publishing the videos on commercial platforms like YouTube or Vimeo means that they are digitally preserved for a long period of time.

2.2 Problems and requirements

After the respondents were asked about the current status, we asked the interviewees about problems and requirements. While most respondents (69%) stated that they are satisfied with the current situation, the biggest potential for improvement is seen in speed and efficiency (62%) concerning the production and publication process followed by financial costs (38%). The most important aspects during video production and publication are rapid, cost-efficient and simple procedures that are at the

² <https://creativecommons.org/>

same time sustainable; cf. Fig.4 (bottom, left). After publication visibility, long-term accessibility and quality of the material are the most important concerns; cf. Fig.4 (bottom, right).

It may seem unexpected that 69% of the respondents name sustainability and long-term accessibility among the most important aspects regarding the fact that no persistent identifiers are used and the conference website or YouTube are the main publishing platforms. Publishing conference recordings on commercial platforms like YouTube or Vimeo, where videos are provided with little or no metadata is not sustainable and therefore inadequate for scientific results. It is unclear how long content will be archived on those platforms and how it can be cited consistently. This makes the search for and the re-use of conference recordings difficult and valuable scientific information remains hidden or gets lost [Drees 2016].

Asked why they don't use persistent identifiers, just under half said they hadn't heard of it yet. Among the rest, lack of infrastructure and high costs were mentioned as reasons for non-use. However, all respondents regard the use of DOIs as useful.

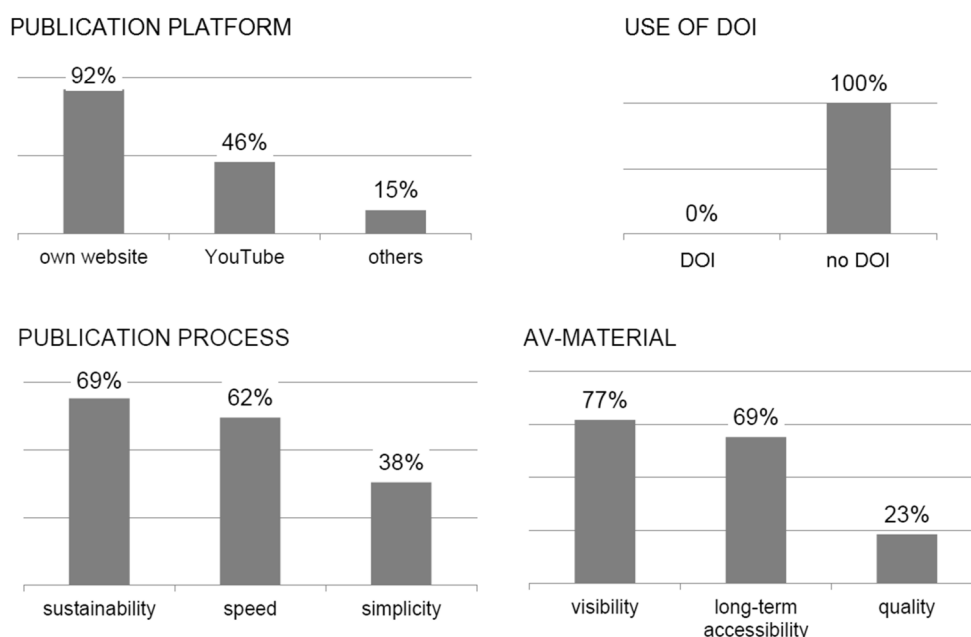


Fig. 4: *Top row:* In most cases conference recordings are published on the conference website or YouTube (left). Accordingly none of the respondents assigns DOIs (or other persistent identifiers) to the videos (right). *Bottom row:* Most important aspects named by respondents regarding the audiovisual material (left) and the publication process (right).

3. Comprehensive Conference Recording Service

Based on the results of the survey, TIB will continue to expand its service portfolio and establish a conference recording service, which includes on-demand recording and publication in the TIB AV portal (av.tib.eu). The TIB AV-Portal [Plank 2016] was developed in 2014 and provides an open access platform for sharing scientific videos, computer visualisations, simulations, experiments and conference recordings under CC licences. The automatic video analysis of the portal includes not only structural analysis (shot boundary detection) but also text, speech, and image recognition and semantic annotation. Automatic indexing describes the videos at the segment level, enabling pinpoint searches in the videos. All videos are allocated a digital object identifier (DOI) so that they can be referenced clearly even by the second (with a media fragment identifier). Moreover, videos in the TIB AV-Portal are digitally preserved.

The TIB AV-Portal provides the ideal infrastructure to host, find and reuse conference recordings. It's a single access point for videos from different conferences and years. Additionally, conference videos are linked to the corresponding proceedings [Drees 2017].

A pilot project of the Conference Recording Service will take place in 2018, after which the service is to be gradually expanded in line with demand. The service packages of the first phase include:

- Basic offer package: Conference video service (on-demand recording and publication in the TIB AV portal) without customization (graphic elements)
- Standard offer package: conference video service (on-demand recording and delivery in the AV portal) with customization
- Complete package: Conference video service (on-demand recording and publication in the AV portal) with two cameras, e. g. for recordings with higher technical and creative demands.
- A live streaming of the contributions will be offered in the second phase

4. Conclusion

Video recordings of conference talks are becoming more and more common in the scientific communities (although there are huge differences between subjects). While aspects such as long-term accessibility and sustainability are considered very important, persistent identifiers, like DOIs, are scarcely used and videos mainly uploaded on the conference website or YouTube. Libraries should start here and provide reliable, free and open infrastructures for audiovisual media. The TIB AV-Portal (av.tib.eu) is such an infrastructure that guarantees the digital preservation of videos and uses persistent identifiers.

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FUNDING

The study was financed within the “Professionalisation and continuation of the concept for exploitation of research results at the German National Library of Science and Technology, Hannover (TIB)” project (funding ID:03IO1441) funded by the Federal Ministry of Education and Research (BMBF). Within this project, TIB’s knowledge and technology transfer concept is further developed, adapted to new structures, and extended to include new topic areas. TIB seeks to increase the number and quality of utilisation projects, to better market its offerings, and to implement new, innovative services.

Data Papers are Witness to Trusted Resources in Grey Literature: A Project Use Case*

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Abstract

In 2011, GreyNet embarked on an Enhanced Publications Project with DANS, Data Archiving and Networked Services in an effort to circumvent the data versus document camps entrenched in grey literature communities¹. The results of that project served to incorporate in GreyNet's workflow the acquisition, indexing, and linking of research data with their full-text and accompanying metadata^{2,3}. Recently, GreyNet discussed with a data management librarian from the University of Florida a proposed follow-up project dealing with data papers – a new document type within grey literature. Data papers are defined as scholarly publications of a searchable metadata document describing a particular online accessible dataset or a group of datasets published in accordance to standard academic practices. As such, data papers represent a scholarly communication approach to data sharing⁴. The outcome of that discussion led to the formation of a project team with the twofold purpose of producing and publishing a set of data papers originating in the field of grey literature, and in so doing raise awareness to this new document type by demonstrating its value for library and information science. The method of approach includes the construction of an online standardized template that encompasses a data paper, defining the population asked to complete the template, instruction and further contact with the authors/researchers during the course of the project, along with an analysis of the results. The anticipated outcome of the project would provide a tested template that could be used by other grey literature communities in the production of data papers. It would demonstrate how OA, DSA⁵ and FAIR⁶ principles are implemented and reinforced via data papers. And, it would further provide examples of how data citations can generate trusted bibliographic references.

Introduction

A few years ago, I heard the term data paper; and, as with all developments in the field of information, I began to think of how data papers are related to grey literature; and how GreyNet could incorporate them in and among its own resources? What sparked my initial interest was that data papers can be seen as a new document type in grey literature and that they have a place within GreyNet's ongoing Enhanced Publications Project dating back to 2011.

In early April of this year, I attended a meeting in Barcelona during the Research Data Alliance Conference. There a presentation on FAIR Data Principles was delivered; and, it was this that prompted me to explore the connection between data papers and FAIR Data principles. My position statement was and remains that 'Data papers are one of the most tangible means of implementing the FAIR-data Principles.'

The content of this paper is quite straightforward and reflects work over the past six months, or should I say the first 6 months of GreyNet's Data Papers Project.

Definition of Data Papers

The definition of data papers used for our project is borrowed from Wikipedia, where they are defined as "Scholarly publications of a searchable metadata document describing a particular online accessible dataset or a group of datasets published in accordance to standard academic practices. As such, data papers represent a scholarly communication approach to data sharing".

Background of the Project

Early in the project, it was understood that Data Papers was not a stand-alone project, but was very much linked to GreyNet's enhanced publications described by DRIVER II as "A publication that is enhanced with three categories of information: research data, extra materials, and post-publication data". Enhanced publications combine textual resources *i.e.* documents intended to be read by human beings, which contain an interpretation or analysis of primary data. Enhanced publications inherently contribute to the review process of grey literature as well as the replication of research and improved visibility of research results in the scholarly communication chain.

* First published in the GL19 Conference Proceedings, February 2018.

Developments in GreyNet's Data Collection

In 2011, GreyNet carried out a survey among its pool of authors and researchers in order to assess their attitudes towards data sharing and their willingness to submit research data for entry in the DANS Data Archive. The results of the survey were quite positive. While only 7% were unwilling to do so, 49% were, and 44% were as yet uncertain. In 2012, the year following that survey, the work of acquiring data retrospectively as well as integrating the acquisition of research data within GreyNet's workflow was undertaken. Since then, the tasks of publishing and linking GreyNet's research data with their full-texts account for 30 published datasets in the DANS Data Archive. This number of datasets was seen to provide the needed impetus and volume to undertake GreyNet's Data Papers Project. And, in early 2017, the compilation and design of a standardized template for data papers began.

The instrument of a data paper template

The data paper template implemented in this project is based on a compilation derived from three existing templates: RDJ, Research Data Journal for Humanities and Social Sciences⁷, JOHD, Journal of Open Humanities Data⁸, and JOPD, Journal of Open Psychology Data⁹. While these and other templates used for data papers contain similar fields, GreyNet opted to compile and adapt its own template, which consists of five main sections: Overview, Methods, Dataset Description, Potential Reuse, and References (see Appendix).

In drafting the template, each field in a section would provide a box note containing one or more examples. It was intended that once all 5 sections were completed, this would serve in drafting the data paper. Attention was further given to the overall design of the template in engaging would-be authors. Potential authors would not be confronted with just a sheet of instructions, but instead an instrument guiding them through to completion.

Population and Acquisition of Data Papers

As mentioned earlier, the number of datasets that formed the population for the project was thirty in total. It was determined that only first authors of GreyNet's datasets in the DANS Archive would receive an email request for participation in the Data Papers Project. This then amounted to 15 acquisition requests allowing for the fact that one author/researcher accounted for more than one dataset in the study. The text of the email read as follows:

Dear ... ,

GreyNet would like to enhance and promote its collection of datasets in the DANS Data Archive through the publication of a Data Paper corresponding to each dataset. According to our records, you have one or more datasets in the DANS Data Archive [\[link\]](#) that would benefit by an accompanying Data Paper.

Attached is a brief description of the Data Papers Project along with a standardized template to guide you in drafting a data paper. Also attached is a sample data paper that will appear published in the Autumn 2017 issue of The Grey Journal.

By drafting and submitting a data paper, you will also receive well deserved recognition through its publication in The Grey Journal as well as its preprint access in the DANS Data Archive. On behalf of the project team, I greatly appreciate your consideration in this request; and I look forward to fielding any questions you may have.

GreyNet' email signature

Review process for data papers

Upon receipt of a drafted data paper, the author received notification along with details of the review process that would be undertaken.

1. Submissions are first checked against the standardized template. The author(s) may be asked to provide additional information.
2. The (revised) data paper is then sent to the data management librarian on the project team for review.
3. Once reviewed the data paper is entered in the DANS Archive as a preprint, where it is processed by one of the data archive managers. It is assigned Creative Commons Licensing CC0, and provided the archive's Data Seal of Approval, DSA.
4. Having fulfilled the above, the data paper is considered to implement the FAIR-data Principles by making the related data(set) Findable, Accessible, Interoperable, and Reusable.

Publication of GreyNet's data papers

The data paper first published as a preprint alongside its corresponding dataset in the DANS Archive is further published as a preprint in the GreyGuide Repository, where via its assigned DOI becomes linked to its corresponding (data)set in the DANS Archive. The data paper is then scheduled for publication as an article in The Grey Journal (ISSN 1574-1796), where it receives coverage through multiple abstract and indexing services including Scopus and Thomson Reuters and is full-text available via EBSCO's LISTA-FT database.

Some early project results

Since the initial request to 15 first authors responsible for GreyNet's Collection of published datasets in the DANS Archive, results appear to show:

- The Data Paper Template compiled and edited for this Project proves efficient;
- Seven authors have indicated interest in drafting a Data Paper, five of which are now published as preprints in the DANS Data Archive and in the GreyGuide Repository. Two of the five data papers have appeared published as articles in the Autumn 2017 issue of The Grey Journal (TGJ) and the other three await journal publication in the Spring issue 2018;
- Data Papers are now listed in the GreySource index¹⁰ as a new document type in grey literature;
- And, Data Papers are shown to lend support to the Pisa Declaration on Policy Development for Grey Literature Resources¹¹ and specifically to Article 15 "Systems for linking data and other non-textual content to their grey literature publications together with interoperability standards for sharing grey literature."

Spin-off from the initial Data Papers Project

About six weeks after the initial round of acquisitions for data papers, it was brought to our attention that a number of published articles in The Grey Journal – with no tie to the GL-Conference Series – are based on research data. A request was then made to eight of these authors/researchers inquiring as to their willingness to participate in our project by submitting their data(sets) for entry in the DANS Archive followed by the completion of a Data Paper. Two of the eight authors have since responded with their intent to do so.

Another spin-off from our initial project is to draft a workshop that will instruct authors, researchers, and other information professionals and practitioners as to the benefits of data sharing and the instrument of a data paper in accomplishing this. The first of these workshops will be held at the University of Florida at Gainesville on March 20, 2018. It will be branded and offered within the GreyForum Series entitled "Data Papers, A Trusted Tool in Research and Data Sharing".

Follow-up of the Project

Just as the acquisition of data/datasets are incorporated in the workflow of the Annual Conference Series on Grey Literature, starting in 2018 data papers will also be included in the acquisition round. Furthermore, the request for research data and related data papers will likewise become incorporated in the workflow of The Grey Journal.

User statistics are a way of assessing the implementation of FAIR-data principles via data papers. While user statistics in 2018 may be limited, built into our project are the use of mechanisms that can capture the use of data papers. This will be accumulated from the following sources:

Source of Stats →	The Grey Journal LISTA-FT Database	GreyGuide Repository	DANS Data Archive
Data Paper (Article)	✓		
Data Paper (Preprint)		✓	CC0
Data/Dataset			CC0

Citations and references pertaining to data papers as well as datasets may be acquired via Abstract and Indexing Services. GreyNet maintains established agreements with CSA/PAIS International, LISA INDEX, MLA International, Scopus, and Thomson Reuters for The Grey Journal. For the Conference Proceedings on Grey Literature, GreyNet has standing agreements with Thomson Reuters and Curran's Scopus/Compendex. While these are not the only sources in which to turn, they are the most readily available for our project.

Also, a number ways to solicit and capture feedback from the authors and users of GreyNet's collections of published data(sets) and their concomitant data papers will be in place as follows:

Source of Feedback →	GreyNet Website	GreyGuide Repository	GreyForum Workshop
Data Papers	✓	✓	✓
Research Data	✓		✓

In fine, the tasks of our project team for the coming year involve the acquisition and publication of data papers along with the collection of user statistics, data citations, and references to the data papers. In turn, these results will be incorporated in subsequent workshops and trainings demonstrating use cases with Data Papers.

References

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- ⁵ DSA, Data Seal of Approval <https://www.datasealofapproval.org/en/>
- ⁶ FAIR Data Principles <https://www.force11.org/group/fairgroup/fairprinciples>
- ⁷ Research Data Journal for Humanities and Social Sciences http://www.brill.com/sites/default/files/ftp/authors_instructions/RDJ.pdf
- ⁸ Journal of Open Humanities Data <https://openhumanitiesdata.metajnl.com/about/submissions/>
- ⁹ Journal of Open Psychology Data <https://openpsychologydata.metajnl.com/about/submissions/>
- ¹⁰ GreySource Index <http://www.greynet.org/greysourceindex/documenttypes.html>
- ¹¹ Pisa Declaration on Policy Development for Grey Literature Resources <http://greyguide.isti.cnr.it/pisa-declaration/>

APPENDIX – Data Paper Template

This template provides you with a standardized, accepted format for drafting a data paper. Please consult the note box found under each field name for brief explanations and examples. The Data Paper consists of five main sections: ① Overview, ② Methods, ③ Dataset Description, ④ Potential Reuse, and ⑤ References.

Once you have completed drafting your data paper, please submit to journal@grey-net.org. Upon receipt, the preprint will be deposited in the [DANS Data Archive](#) where the dataset is stored. Further notice of its publication in [The Grey Journal](#) will likewise be provided. The above email address can be used for all correspondence pertaining to your data paper.

① Overview

Title:

NOTE The title of the data paper should focus on the **data**. Since your data is closely linked to a specific research paper, precede the title of your paper with **Data from “followed by the Title of your paper”**.

Repository Location:

NOTE A link to the repository home page and a DOI (or other persistent identifier) that links directly to the dataset.

Data Paper Authors/Contributors, Affiliations, and Roles:

NOTE

1. ▪ First name, Last name;
 - Author/Contributor unique ID (e.g. ORCID, ResearcherID)
 - Organizational Affiliation;
 - Author’s Role(s): Project Administration / Dataset Creator / Visualization / Draft Text / Review & Editing

2. ...

3. ...

Abstract:

NOTE A short (ca. 100 words) summary of the dataset being described: what the data covers, how it was collected, how it is stored, and a short description of its potential reuse.

Keywords:

NOTE A maximum of four keywords is allotted. Each keyword is separated by a semicolon followed by a space.

Subject Area:

NOTE Discipline or Community of Practice (e.g. Medicine, Engineering, Physics, etc.)

② Methods

NOTE Describe the methods used to create the dataset (ca. 100-200 words), include the following sub-headings:

Steps – The series of procedures followed to produce the dataset. This should include any source data used, as well as software and instrumentation involved.

Sampling strategy – If relevant, outline the sampling strategy used to produce the data.

Quality Control – If applicable. Please list the methods used for quality control in the production of the data *i.e.* steps taken to normalize data.

3 Dataset Description

NOTE Enter your response after each sub-heading

File name:

The name of the file or file set in the repository/archive.

Format names and versions (if available):

Such as ASCII, CSV, Autocad, EPS, JPEG, Excel, SQL, etc.

Creation dates:

The start and end dates of when the data was created YYYY-MM-DD

Language(s):

Languages used in the dataset (i.e. variable names, etc.)

License

The open license under which the data has been deposited is Creative Commons, e.g. CC0.

Repository/Archive name:

The name of the repository/archive to which the data is uploaded: DANS EASY, Etc.

Publication date

The date the dataset was published in the repository/archive (YYYY-MM-DD)

4 Potential Reuse

NOTE Please describe the ways in which your data could be reused by other researchers both within and outside of your field. For example, this might include aggregation, further analysis, reference, validation, teaching or collaboration. This section should also include limitations to, or potential barriers for reuse. (maximum 800 words)

5 References

NOTE References cited here should be explicit to the Data Paper. When available, include a DOI, other persistent identifier, or link in each reference. See examples below:

1. Piwowar, H.A. 2011 Who Shares? Who Doesn't? Factors Associated with Openly Archiving Raw Research Data. *PLoS ONE* 6(7): e18657. DOI: <http://dx.doi.org/10.1371/journal.pone.0018657>.
2. Giannini, S., [et al] CNR Pisa, Italy, 2016 Grey Literature citations in the age of Digital Repositories and Open Access. Seventeenth International Conference on Grey Literature. Conference Preprint available from: <http://hdl.handle.net/10068/1024659>.
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Upon completion of your Data Paper, please submit to journal@greynet.org.
The email can also be used for all other correspondence pertaining to your Data Paper.

Thank You!

Data from: **“Grey Literature citations in the age of Digital Repositories and Open Access”**

<https://doi.org/10.17026/dans-za8-89yb>

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Review & Editing

Abstract

The data collected is based on a sample corpus built on: a) the bibliographical references of articles in four journals over the years 2012-2014; b) the proceedings of two international conferences held in 2012 and 2014. The full text paper, presented at the International Conference Series on Grey Literature, measures grey citations in the years 2012, 2013 and 2014 and describes the features of GL documents mentioned in the areas *Computational Linguistics* and *Computer Science and Engineering*. The data from the study was collected and arranged in 2016. The original information was extracted directly from the primary sources, i.e. the bibliographical references of the articles published in the selected journals and proceedings. The dataset consists of all the analyzed bibliographical references of the chosen journals and proceedings accompanied by some informative classes processed to perform calculations and provide statistical information. It contains the number of bibliographic references and the number and percentages of usage of “grey” references and “grey” document types in the considered timespan. The data derived from this sample are suitable for different types of reuse and functional for anyone interested in citation analysis.

Keywords: Bibliographic references, Citation analysis, Models of scientific communication

Subject Area: Information Science

Methods

- Steps

The dataset has been produced by merging the tables used for data analysis and the tables used for data processing into a single Excel file. It is composed by 11 spreadsheets: the first six (ACM_TOIS, EURASIP, CL, LR&E, EACL, JDCL) contain the bibliographical references accompanied by five informative classes: year, issue number, kind of document – Grey (G) or Published (P), document type and standardized document type. The remaining spreadsheets contain the tables with measurements of the frequency of GL citing, the frequency of GL use and the intensity of GL use accompanied by graphs (Frequency_Intensity). The spreadsheet called “DT_Tables” reports the overall distribution of GL by document type while the spreadsheet called “Journals_DT and Proceedings_DT” reports the distribution of GL documents for each journal and proceeding. The last one includes the graphs measuring the intensity of use of the individual types of document by each resource analyzed (DT_Graphs).

- Sampling strategy

The sample data was selected from journals with an Impact Factor (IF) over the last three years, indexed by Scopus Citation Database and ISI Web of Science, and from two proceedings of international conferences held in 2012 and 2014. The chosen journals are all indexed under the ISI-JCR subject category “Computer Science” (CS), except for the *EURASIP Journal on Advanced in Signal Processing* (EURASIP), which is under the subject category “Engineering, Electrical & Electronic” (E&E). *ACM Transactions on Information Theory* (ACM TOIS) is under the sub-category “Information systems”; *Computational Linguistics* (CL) is under the sub-categories “Artificial Intelligence” and “Interdisciplinary Applications”; *Language Resources and Evaluation* (LR&E) is under the sub-category “Interdisciplinary Applications”. Scopus citation database places the journals CL and LR&E in areas related also to the Humanities and Social Sciences: “Language and Linguistics” for CL; “Language and Linguistics”, “Education”, and “Library and Information Sciences” for LR&E. Indeed, Computational Linguistics is a discipline that draws contributions from different fields of study, such as linguistics, psychology, mathematics and statistics, in addition to computer science. For all these reasons, we considered the

selected journals and conference proceedings as belonging to two different scientific communities: “Computer science” and “Engineering and Computational Linguistics”.

- Quality Control

The quality of source data is guaranteed by official publishers. When the bibliographic reference is unclear or lacking useful information for its identification, special indexes, catalogs and Google search are used.

Dataset Description

File name:	Data.xlsx
Format name and version:	Excel 2013
Creation dates:	From 2016-03-30 to 2016-04-04
Language:	English
License:	CC0 Waiver - no rights reserved
Archive name:	DANS EASY Archive
Publication date:	2016-04-04

Potential Reuse

The original study measured the impact of Grey Literature (GL) on different areas of knowledge by selecting only “grey” citations and described the features of GL cited documents. A further study might suggest a different interpretation of the examined data or compare the results with those of other disciplinary fields. Another study might investigate the entire corpus of citations by identifying the most cited document types, their features, the time coverage as well as the nature of publishers: commercial publishers, associations, foundations. Moreover it may be interesting to analyze the amount of citations in open access journals. In the current digital era bibliographical citations have gained a strategic role within the mechanisms of scientific communication, especially due to the implementation of the citation indexing services. The Impact Factor is based on the count of citations and is the most well-known and used bibliometric indicator. The contents of this dataset are affected by this approach and are strongly oriented to traditional models of scientific communication. The Open Science movement is extending the transmission of knowledge to new documentary typologies and is encouraging the use of alternative metrics. For these reasons, the dataset could also be used for comparative purposes with the future citation models.

The original bibliographical references are freely accessible from the publishers' sites and a copy of the dataset is openly accessible in the DANS EASY Archive.

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2. DANS EASY Archive <https://easy.dans.knaw.nl/ui/home>.
3. Data Papers Project <http://www.greynet.org/greyforumseries/datapapers.html>.
4. GreyNet Data Paper Template – Version 1.0 <http://www.greynet.org/greyforumseries/datapapers.html>.

Data from:
“Grey communities: An empirical study on databases and repositories”

<https://doi.org/10.17026/dans-xwt-w73f>

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Abstract

The study explores grey communities outside the Grey Literature Network Service (GreyNet) and identifies potential members for GreyNet. GreyNet can be compared to a Learned Society specialized in grey literature as a particular field of library and information sciences (LIS). Its relevance is related to its capacity to enforce the terminology and definition of grey literature in LIS research and publications, and its impact and outreach can be assessed through the proportion of experts dealing with grey literature and connected with GreyNet. From five databases (Web of Science, Scopus, LISTA, Pascal and Francis) and from open repositories we selected 2,440 papers on grey literature published between 2000 and 2012 by 5,490 authors. Publishing features, preferred journals and the number of publications per author are described for the whole sample. For a subsample of 433 authors strongly committed to grey literature, we present data on geographic origins, place of work, scientific domain and profession. Researchers discuss the characteristics of grey communities in and outside of GreyNet and suggest strategies for the further development of the network.

Keywords: Grey literature, academic community, academic network, scientometrics

Subject Area: Library & information Science

Methods

● Steps

The first step was a search for publications on grey literature in selected scientific databases. The search was conducted in March and April 2012 in five databases (LISTA, SCOPUS, Web of Science, PASCAL, FRANCIS).

We then conducted the same research in different open access directories and search engines (DOAJ, OpenDOAR, ROAR, E-Lis, OALster) but only the results from E-Lis were satisfying and relevant while the other tools were not specific enough (no limitation to the time period, to search on fields except full text and/or to published documents). Therefore, we only added the references from the E-Lis directory.

The references from all sources were uploaded to a unique database. The final database contains 2,440 references and allows for three analyses:

- Study on the publication patterns: the study was conducted in order to know more about these references on grey literature – document types, publication years, preferred journal titles.
- Study on authors: the study was conducted in order to describe this community publishing on grey literature outside of the GreyNet, in particular their institutional affiliation, geographical origin, preferred journals and other vectors of communication.
- Comparison with GreyNet community: The GreyNet community (inside) is defined based on the authors who usually publish in the GreyNet newsletter, in The Grey Journal, or in the proceedings of the annual conferences on grey literature partially available in the OpenGrey repository. The list was downloaded in April 2012 from the TextRelease web page called “WHOIS in Grey Literature 2012”. Together, this corpus (i.e. the GreyNet community) accounts for 296 members, more or less involved, active and publishing. Our comparison was conducted in order to better understand the specificity of the grey community, its boundaries, outreach and potential.

● Sampling strategy

We applied three criteria for the sampling of publications on grey literature in bibliographic databases:

1. Document type: The search was limited to published papers, mainly journal articles.

2. Time period: We considered documents published between 2000 and 2012.
3. Content: We searched for references that contain “grey literature” or variants in the title, abstract or keyword fields. Subsequently, we added references on PhD theses or Master dissertations. The same criteria were applied for the search in open access directories and search engines. Finally, cited publications and documents published by GreyNet (TextRelease) were discarded.

● **Quality Control**

The search results were controlled and if necessary corrected at two points, before and after the uploading of the references into our database. In particular, double entries were eliminated, references were cleaned and consolidated. Typical errors were: different versions of an author’s name, incomplete bibliographic information like missing year or pagination etc.

Dataset Description

File name:	Prost and Schöpfel GL14.xls
Format name and version:	Excel 2013
Creation dates:	From 2012-08 to 2012-11
Language:	English
License:	CC0 Waiver – no rights reserved
Archive name:	DANS EASY Archive
Publication date:	2013-02-13

Potential Reuse

The dataset may be reused by scientists interested in grey literature and academic communities, especially in the history and the development of the international scientific and professional network dedicated to non-commercial academic publishing.

References

- Farace, D., J. Frantzen, C. Stock, N. Henrot, and J. Schöpfel (2008). OpenSIGLE, Home to GreyNet's Research Community and its Grey Literature Collections: Initial Results and a Project Proposal. In *GL10 Tenth International Conference on Grey Literature: Designing the Grey Grid for Information Society. Amsterdam, 8-9 December 2008*.
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- Prost, H. and J. Schöpfel (2014). Grey communities. A scientometric approach to grey literature, in and outside of GreyNet. *The Grey Journal* 10 (1), 38-49.
- Schöpfel, J., C. Stock, D. J. Farace, and J. Frantzen (2005). Citation analysis and grey literature: Stakeholders in the grey circuit. *The Grey Journal* 1 (1), 31-40.

Data from:

“Looking for Information that is not Easy to Find: An Inventory of LibGuides in Canadian Post-Secondary Institutions Devoted to Grey Literature”

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Abstract

In order to obtain a representative sample of the use of grey literature in LibGuides across Canadian post-secondary institutions, an environmental scan was undertaken, identifying 17 colleges or universities where grey literature resources were directly mentioned and included alongside academic databases. After viewing the LibGuides within each post-secondary institution, 52 library staff (librarians and information specialists) were identified. A brief online survey was sent to each of the 52 library staff members, to uncover how students and researchers use grey literature, and perhaps, most importantly, to verify from the participant responses whether or not sections of existing LibGuides have been devoted to including the grey literature in information-seeking pursuits. Nine of the 17 institutions polled participated in the survey, yielding a response rate of 52.9%. All respondents confirmed that grey literature was mentioned in the research guides/subject guides/LibGuides used within their institution. This data set is affiliated with GL 18, the 18th International Grey Literature Conference, which was held at the New York Academy of Medicine from November 28-29, 2016.

Keywords: LibGuides; grey literature; post-secondary institutions; Canada

Subject Area: Life Sciences, medicine and health care; Health sciences; Humanities; Language and literature studies; Political science

Methods

• Steps

Following the environmental scan of Canadian post-secondary institutions that include and/or dedicate their LibGuides to the study and pursuit of grey literature, the following methodology was undertaken:

- 52 library staff (librarians and information specialists) from 17 institutions were identified,
- TooFast, <https://www.toofast.ca>, a free assessment summary tool was used to generate a brief online survey to each of the 52 library staff members
- The purpose of the survey was to:
 - Uncover how students and researchers use grey literature
 - To verify from participant responses whether or not sections of existing LibGuides have been devoted to including grey literature in information-seeking pursuits.

• Sampling strategy

Nine of the 17 institutions polled participated in the survey, yielding a response rate of 52.9%. In some instances, more than one respondent from the same institution replied, however, in such cases, only one respondent per institution was considered. Further, some respondents chose to reply to the survey via e-mail, while others submitted their responses anonymously. Thus the responses in the corresponding dataset (Excel spreadsheet) were aggregated to include both the online survey and/or e-mail correspondence.

• Quality Control

Not applicable due to small sample size.

Dataset Description

File name:	Vaska&Vaska_GL18_SurveyResults.xlsx
Format name and version:	Microsoft Excel file
Creation dates:	From 2016-06-07 to 2016-07-19
Language:	English
License:	CC0 Waiver – no rights reserved
Archive name:	DANS EASY Archive
Publication date:	2016-10-05

Potential Reuse

While the intent of this dataset is to provide a cursory analysis of the use of grey literature in Canadian post-secondary LibGuides, this study will be expanded into a poster presentation entitled, *Grey Literature LibGuides or LibGuides about Grey Literature: A 2-Continent Environmental Scan of Common Themes and Trends*. This poster, co-authored by Kathleen Carlson, Joachim Schöpfel and Marcus Vaska, is in partial fulfillment of a mandate set out by the GreyNet LIS Education and Training Committee, reflecting on the various informational pursuits being used in the grey literature community in order to enhance education and training in the field of grey literature. It will be unveiled at GL 19, the 19th International Conference on Grey Literature, October 23-24, at the National Research Council, Rome, Italy. It is believed that the analysis contained within the poster will provide the basis other educational institutions worldwide may consider when promoting the use of grey literature in scholarly research and teaching pursuits at their own institutions.

References

- Vaska, M., & Vaska, R. 2017. Looking for Information that is Not Easy to Find: An Inventory of LibGuides in Canadian Post-Secondary Institutions Devoted to Grey Literature. *The Grey Journal* 13(2): 81-90.
- Ravelli, B. (2017). TooFast: Free Assessment Summary Tool. [cited 2016 Oct 5]. Available from <https://www.toofast.ca/>

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This forum and training is organized by GreyNet International, the University of Florida, George A. Smathers Libraries and the University of Florida, Informatics Institute

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Program Outline, Instructors, and the Prospective Trainees

Opening, Judith C. Russell, Dean of University Libraries

The Librarian's Pivotal Role in Research and Data Sharing

*Dr. Plato L. Smith, Data Management Librarian,
University of Florida, George A. Smathers Libraries, (USA)*

Data Papers – Grey Literature that implements FAIR Principles

*Dr. Dominic Farace, Director
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Workshop and Training

Hands-on completion of a data paper template and Assessment

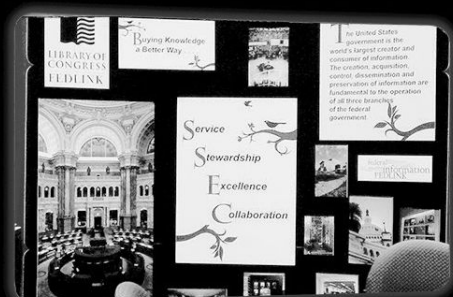
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Program Outline

09:00 Arrival, Welcome	11:15 Trainer Instruction
09:15 Librarian's Role in Research	11:30 Training Session
10:00 Introduction to Data Papers	12:30 Group Assessment
10:45 Morning Break	13:00 Close and Lunch

About the GreyForum Series www.greynet.org/greyforumseries.html

GreyNet



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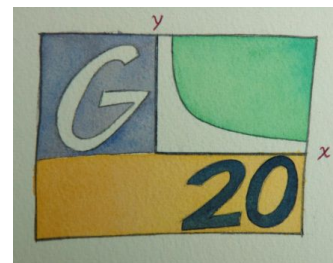
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DCMI, Dublin Core Metadata Initiative Home Page http://purl.oclc.org/metadata/dublin_core/

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Once the journal article has completed the review process, it is scheduled for publication in The Grey Journal. If the Author indicated on the signed Rights Agreement that a preprint of the article be made available in GreyNet's Archive, then browsing and document delivery are immediately provided. Otherwise, this functionality is only available after the article's formal publication in the journal.

An International Journal on Grey Literature **'OPEN ACCESS, NEW GREY LITERATURE, AND DATA COMPLIANCE'**

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