JISC DEVELOPMENT PROGRAMMES

TARDis
University of Southampton e-Prints

Project : FINAL REPORT

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Table of Contents

Executive summary	p.3
Background	p.4
Aims and Objectives	p.4
Methodology	p.5
Implementation	p.6
Outputs and Results	p.9
Outcomes	p.10
Conclusions	p.10
Implications	p.11
References	p.11
Appendices	p.13

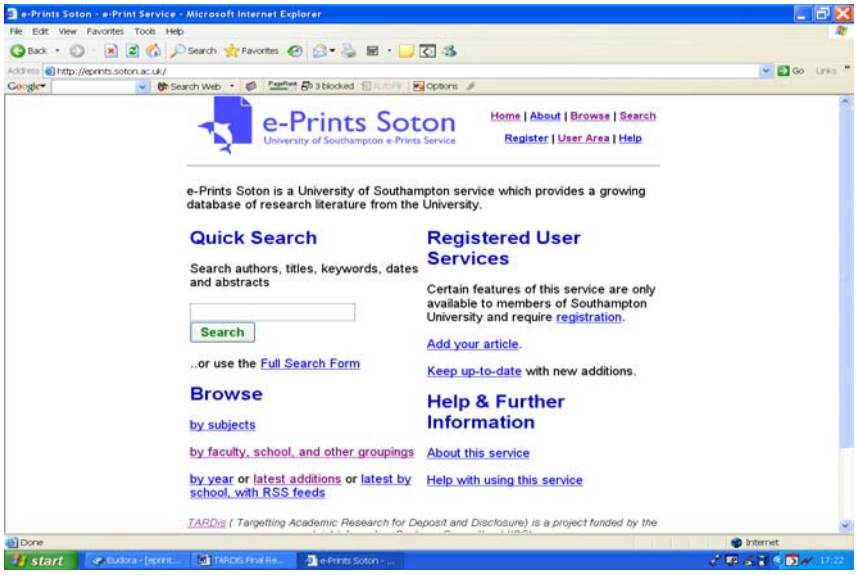

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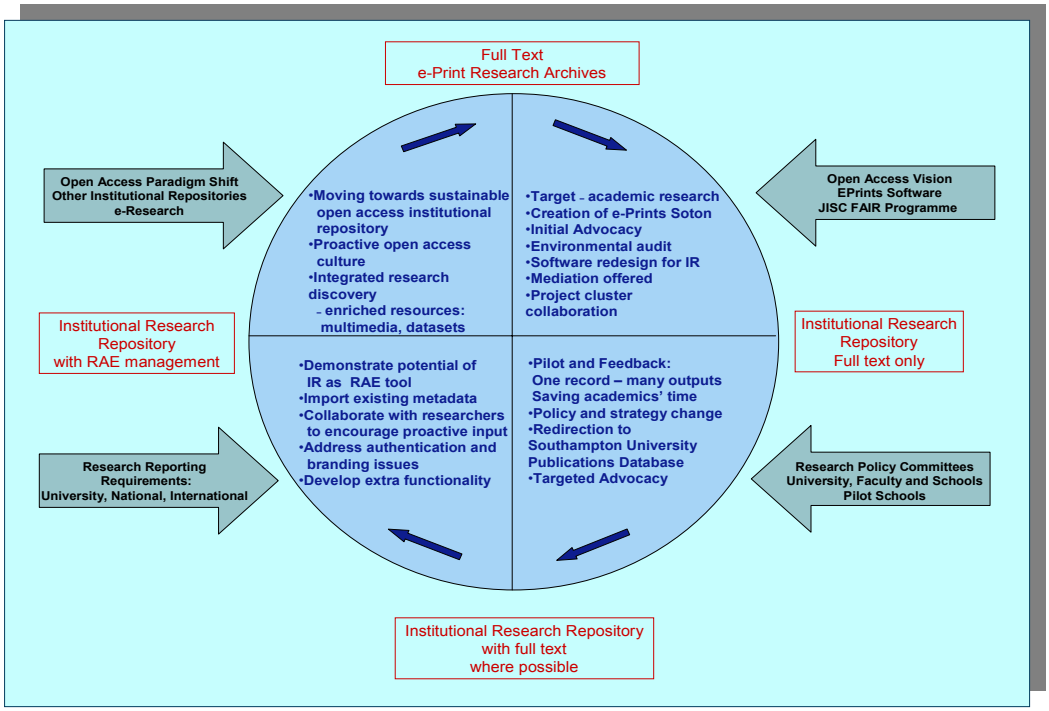
Fig. 1. TARDis RouteMap : a useful model



Executive Summary

TARDis http://tardis.eprints.org/ was one of a cluster of complementary projects funded by the UK's Joint Information Systems Committee [1] as part of the Focus on Access to Institutional Resources Programme [2] In 2002, Institutional repositories were being recognized as an important strategic development around the world [3].

TARDis has built a sustainable multidisciplinary institutional research repository – the University of Southampton Research Repository (called, in short, e-Prints Soton http://eprints.soton.ac.uk - to leverage the research created within Southampton University, by offering both author self-archiving and assisted deposit. It has developed close working with individual schools and groups building on from their current practices. The repository contains publication records with full text where possible. Whilst starting out with the intention of including only full text, internal and external drivers, steered the project to becoming an Research Assessment Exercise (RAE) tool where publication data took priority. In responding to a stated University need, the project has achieved central University funding and it is expected that the rapidly changing open access movement is likely to take the project (the repository) back to its original aim of open access to all the full text of Southampton research.

While developing the repository or archive, TARDIS specifically fed back into the pioneering EPrints software (http://software.eprints.org/) developed within the Intelligence, Agents, Multimedia Group in the University of Southampton. The TARDis work resulted in a new version of the EPrint software intended to provide ease of use by repository administrators and end users, and is continuing to work closely with the developers. Strategies and documentation have addressed technological,

cultural and organizational issues and the development of the e-Print repository concept for use in wider applications.

Consideration was given to including all types of research output in a variety of formats. This was based firmly on the experience of building pilot repositories for both the School of Ocean and Earth Sciences and in the School of Electronics and Computer Science whose own publications database will be incorporated into e-Prints Soton.

The technical and management issues relating to electronic authentication were also addressed in a related JISC funded project led by the Information Support Services (ISS) at the University of Southampton and the Southampton Research Repository was used as the test bed.

The TARDis Project has set up a successful multidisciplinary institutional repository offering one exemplar with policy rationale that has gained University support. The repository profile of Southampton University research is now building to support the open access movement but at the same time is providing an essential research reporting tool.

Background

Before the FAIR Programme, the University of Southampton was already a player in the Open Access Movement: Stevan Harnad from Southampton had made his 'subversive proposal' in 1994 [4]; the University of Southampton was the developer of the major EPrint software and Southampton Oceanography Centre was an early adopter.

Apart from arXiv (the high energy physics repository now hosted at Cornell University), discipline based repositories had achieved only a cautious success. It was not until the information community took up the cause (fuelled by the scholarly communication crisis and the timely availability of project funding) that real movement toward open access publishing and repositories started to emerge.

Early adopters were already acknowledging the barriers to Institutional Repositories success, and the FAIR Programme offered the opportunity for TARDis to specifically address the technological, cultural and organisational barriers and at the same time work with the software developers to customise EPrints software.

Aims and Objectives

The project had the following five key objectives:

- To assess the key barriers impeding support for the creation of institutional archives for a representative set of subjects across at least four disciplines and to develop an integrated technical and academic strategy to overcome them.
- To develop the current version of the Eprints software as a medium for both for facilitated and self-archiving in the context of a multidisciplinary institutional archive.
- To win commitment from the target academic groups to contributing to a multidisciplinary institutional archive and effect a change in the perception of the value of such archives to the research mission of the University.

- To develop a model for standardised metadata which will facilitate both mediated and self-archiving and promote the integration of eprint archives into other information resources.
- To explore the value of partnerships based on shared knowledge and skill between data providers, technical developers and professional support staff which will facilitate change.

Methodology

The core TARDis project team comprised a Project Manager; Research Fellow, Administrative Support and System Support. Each of the work packages was the responsibility of one of the team with support from the others. [5]

Number	Work Package	Number	Work Package
1.1	Project Management & Infrastructure	4.1	Establish advocacy strategy
1.2	Project Steering Group Meetings	4.2	Advocacy support material
1.3	Project Admin and Reporting	4.3	Advocacy
1.4	Quality assurance and evaluation	5.1	Establish Pilot service
2.1	Server and Software installation	5.2	End User Support
2.2	Review of software functionality	5.3	Pilot service assessment – service and system
2.3	System architecture/technical issues	5.4	Refinements to e-Print archive
2.4	Other project functionality	6.1	Implementation and Operations
2.5	Customize EPrints 2 for Southampton	7.1	Checklist
2.6	Workflows	7.2	Linking Institutional – external
3.1	Environmental assessment	8.1	Standards
3.2	Technical and Cultural Issues	8.2	Dissemination of results and liaison
		9.1	Sustainability

We discovered very early that the only route to gain support for the open archive was to implement a demonstrator repository as early as possible, creating an e-Print service for the University of Southampton. An immediate requirement was to define the scope of the repository, which was agreed would cover research output although it is likely that this will extend to Learning Objects and possibly administration documents, once the repository is firmly embedded in university publication practices. The TARDis Project, initially excluded Learning Objects, because we felt research output was demanding enough, but always thought eventually the IR would be used for learning objects as well. Southampton is at present in the early stages of discussion between lots of communities within the university concerning learning objects. Southampton is a partner in a JISC project e-Languages and already there are individual discussions with schools on storage of

their own learning objects eg School of Nursing and Midwifery and the University Libray for information skills objects. We believe the Institutional Repository is the logical storage destination (although work is needed on metadata schema).

Initial working policies were formulated. Our experience in setting this up enhanced with evidence from other e-Print archive implementers within the JISC cluster but also nationally and internationally was documented in deliverables covering the technical, cultural and organizational issues. These culminate at the end of the project with a Case Study in setting up an institutional e-Print repository. An early exercise was the environmental audit within the university concerning present activity and pre-conceptions concerning e-Prints and included a Research Support Survey. The deliverable identified the barriers impeding implementation and content gain, including researchers attitudes to deposit when there is a choice between institutional and discipline based archives. [6]

For maximum exploitation of our e-Print repository we intended to set up links with external service providers including academic research projects and commercial aggregators and report on practical issues we encountered and the steps taken to solve them. We have worked with academic research projects supporting their wish to use the repository for all project documentation. The picture with service providers changed substantially over the course of the project with such services as Google Scholar likely to usurp global service providers but perhaps not subject service providers.

An important part of the project included a strong, wide ranging advocacy programme backed by a formal support infrastructure where we were able to offer several options to university members wishing to deposit records. These allow researchers options from deposit of their own records directly (self-archiving) to total support for those who wish to supply limited metadata and an electronic version of the paper to the project, when it will be deposited by a project member (mediated archiving). We measured the responses to this range of options against discipline culture. Statistics, problem logs and feedback from all approaches were collected. The resultant model reflects these findings.

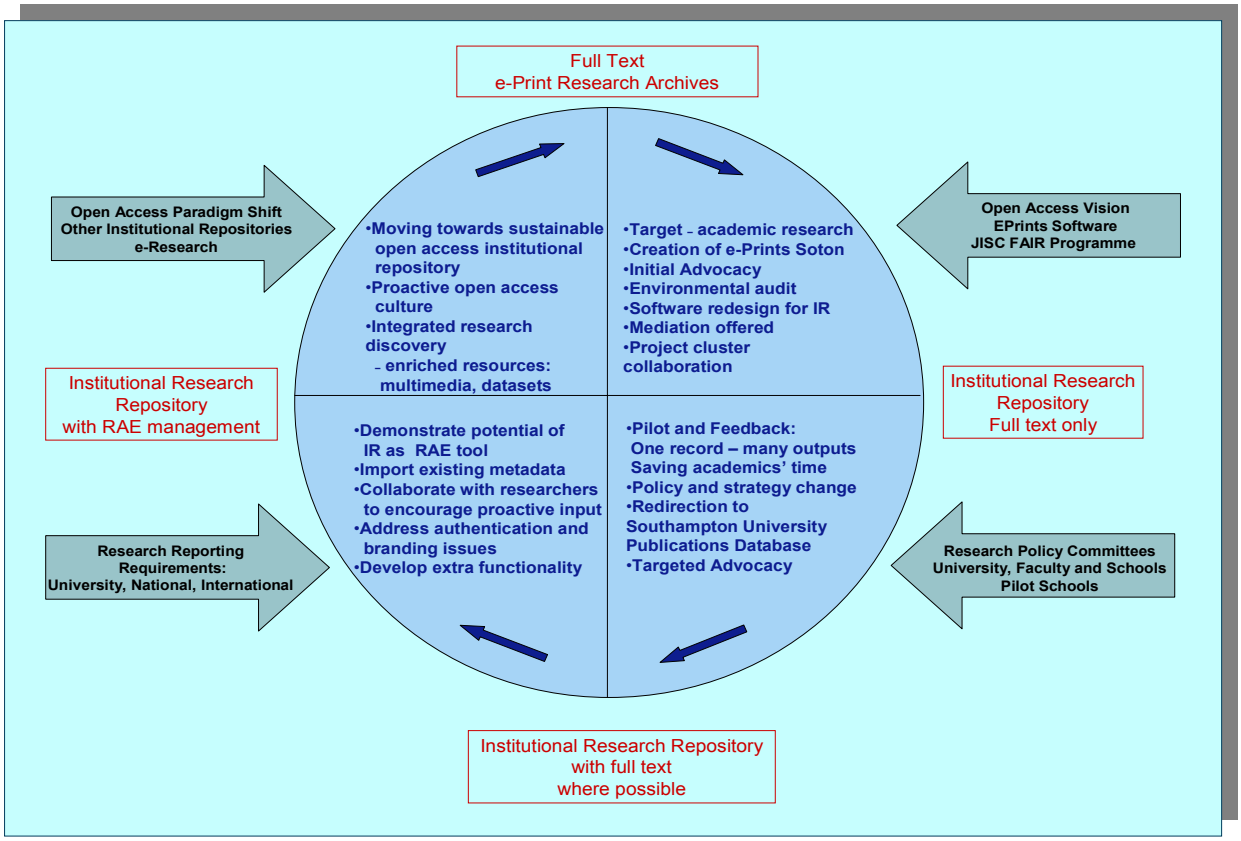
To ensure that the service adequately addressed the needs and scalability for the whole University Community, we ran a pilot service, initially with two departments, and using a variety of methods of feedback, including focus groups and academics acting as part of the project advisory mechanism, we reviewed and addressed issues, before launching the service as a university wide offer.

We built into the project, work packages specifically addressing interoperability particularly in the areas of metadata, subject terminology and software standards which involved taking a lead role in discussion and liaison with the world wide e-Print community. Sustainability of the e-Print repository is a final agreed consequence of this project. The Project Steering Group worked with senior management to discuss not only migration strategies, but also ways in which e-Prints Soton, with new functionality, could provide a new tool for management information and research assessment.

We have a responsibility to make information easily available to disabled students [7] and endeavour to ensure that the service conforms to the W3C Web Content Accessibility Guidelines 1.0. [8] Whilst this will not always be possible, for example in the case of files only available in a non- conforming format, we implement best practice wherever possible.

Implementation

The TARDis Routemap records the progress of the project and provides a model for implementation of a embedded research repository :



The original intent at Southampton was to provide a full text publications database in the spirit of open access following the pioneering work already done at Southampton and as envisioned by the FAIR programme. Early 'open access' presentations convinced us of the need for a demonstrator and also showed that trying to discuss open access publishing alongside institutional repository explanations, defused the IR message. The e-Prints Soton interface was set up but we quickly realised that the software required institutional enhancements and would benefit from guidance in good information management practices. Working with the software developer we contributed to a redesign of the software and the interface resulting in Version 2.3. This was an extensive and intensive period. The first deliverable documented the technical, organisational and management issues experienced in the early implementation phase[9]. From Open Archive Initiative OAI2 conference at CERN, Geneva in Oct 2002, the team took on investigating the discussion about the need for subject classification in IRs. A survey of existing IRs around the world and what 'classifications' they use was produced [10] which provided a comprehensive listing for the IR community and a huge background knowledge of world wide activity for the project, and formed

the basis for work on other reports [11] . As part of the project we carried out an environmental audit of the current practices of researchers in making their research visible, which provided evidence of a considerable discipline divide. [6] The pilot was set up working with early adopters: Ocean and Earth Sciences and Southampton Statistical Sciences Research Institute. Whilst there was a good response to depositing items, sustained input was more difficult to maintain. It did however allow us to investigate current publication workflow practices. A robust advocacy compaign was followed using both "bottom up" and "top down" strategies. The university, however, had a tradition of recording publications for research assessment and for promotion of the university. There was a need to update the mechanism for obtaining this research record and it was made clear during advocacy to University Management that the university would encourage the 'eprints' principle provided the publications recording could be improved and authors would not have to make duplicate effort. This led to a distinct change in policy to create a publications database with the capacity to add full text when academics felt comfortable with copyright requirements and became familiar with the deposit process. Thus the development moved from the 1st quarter to the 2nd quarter of the routemap. [Fig. 1]

The next phase involved more targeted advocacy so that the model was developed with the specific needs of the different schools in mind. They ranged from the world renowned Optoelectronics Research Centre with its own well managed database - sometimes with full text going back more than 30 years - to the School of Education with a strong incentive to improve the research visibility of its' individual groups. As a bonus it had a research office to help manage its research recording. Many schools had existing publication databases and it became very necessary to work on an individual basis rather than offering one model for every school. In particular, schools wished to define the scope of their research output recorded in e-Prints Soton eg. Mathematics and Medicine only want to include refereed articles whilst Education want to include other outputs like Keynote Speeches. The result was a close dialogue and continued interaction on both technical and advocacy matters. Noticeably, schools in the Faculty of Engineering Science and Mathematics were early adopters with isolated social science and humanities and medical exemplars; the School of Nursing and Midwifery was the first to input all their records by direct keying. Existing publication databases (using a variety of software) has meant an initial high import activity, which has required special import scripts, but also a high level of metadata quality control by repository staff. A lesson learned is that good metadata does not always come from the researcher, and dedicated support is very necessary to enhance the quality of the IR records. However some realism is necessary to balance the time that can be spent on ensuring a correct citation. It was decided at an early stage that part of the QA would include value added elements such as linking journal articles to an electronic version where the University Library had a subscription and conversion of file formats.

The 3rd phase involved more detailed thinking about research reporting whether at individual or group level or university and national level. The Research Assessment Exercise (RAE) – so core to the UK environment – was likely to be of particular importance. There was a fundamental need to improve a process which in the past had produced warehouses full of papers which first had to be laboriously gathered [12]. During this phase we demonstrated on a database copy the input of publications which could be selected or deselected with the addition of measures of esteem such as involvement in committees. Pending further work this will be made available to Schools to manage their own publications and priorities and the School of Electronics and Computer Science are tasked by JISC to develop this RAE module for GNU EPrints with the University of Edinburgh developing a module for DSpace. Looking toward the end of the project, sustainability become a target. The link to the RAE had been made. A business case was submitted to the University Executive Group and the University identified e-Prints Soton as the RAE publication management tool with a requirement for all schools to enter their publication records. This process has been gathering pace and by the end of the project e-Prints Soton has over 5000 records of which some

1500 are full text. Following the Berlin 3 Conference : Open access progress in implementing the Berlin Declaration…., Southampton, Feb/Mar 2005, our policy has become known as the 'Southampton keystroke policy' : getting all the metadata into the repository for institutional record keeping and performance evaluation purposes and strongly encouraging the addition of full text where available. [13] The Keystroke policy includes a link to the e-version where the Library has a subscription, and we are considering putting an e-link to every journal (where available) so that in the event of open access to journals after a period of time they would automatically be available. We are developing a methodology for checking journal articles without links to ensure that at least our subscribed titles are linked particularly because it is likely that RAE submissions will be reuired to have a full text deposit.

Depositing metadata and preferably full text where possible for the Research Assessment gives a strong incentive to authors and encourages familiarity with the process of deposit. Groups who were asked to do this then frequently began to add other material.

In December 2004, the university issued a press release [14] to announce the decision by the University to provide core funding for its Institutional Repository to be managed by the University Library. This establishes the repository as a central part of its research infrastructure. Along with an ever more positive external environment and other universities creating their own repositories we have an appropriate climate to build up a practice of open access in a sustainable fashion. New initiatives supporting e-Research, linking text and data and multimedia are building on this firm foundation.

Outputs and Results

Our main achievement has been to create a sustainable repository for a large multidisciplinary institution to showcase its research and contribute to the growing open access movement. This digital repository of research output from the University of Southampton includes journal articles, books, book chapters, conference items, monographs and grey literature, posters, powerpoints and theses. We expect soon to be challenged with sculpture (3D imagery), operas (audio files) and other multimedia formats. Provision of a secure store for digital objects has convinced the University Research Policy Committee, to amend its policy and accept theses in electronic format. e-Prints Soton will become the University of Southampton theses repository, and contribute to the JISC funded eTHOS developments.

We made a considerable contribution to the development of the GNU EPrints software which is used throughout the world. Being co-located with the University of Southampton, School of Electronics and Computer Science who were the developers of the e-Prints software, enabled us to contribute to changes in the fundamental structure and the incorporation of good information management practices. Work on metadata fields and citation formats improved and enhanced the software.

Part of our project plan was to assess and explore the different deposit options for researchers, of self deposit and mediated deposit. The last required a new interface designed with the help of an HCI researcher. Latterly, fast track deposit has also been added. As a prerequisite we carried out an environmental audit and research support survey to assess researcher practices and attitudes to the cultural use and impact of open access and repositories [6].

Supporting the foundations of the project, work was completed on compiling a list of institutional repositories and their use of 'subject classification' [10]. Though listings are now more comprehensive as the number of repositories grow, this subject classification work remains a valuable contribution.

We were pleased to share our knowledge and work with the IR community through the eFAIR cluster and papers and conference contributions.[16] In setting up e-Prints Soton it was necessary to devise policies and formulate agreements; our deposit agreement has been used by many other repositories and also formed the basis of the SHERPA deposit agreement.

The TARDis Route Map [Fig.1] demonstrates a practical method of managing both recording and deposit of research publications in an ever more progressive open access environment. In saving time and duplication for academics it provides a mechanism they will appreciate. More services can be added to provide more sophisticated promotional opportunities for groups at a later stage. The TARDis model also illustrates options for additional linking to a publisher's own text to both showcase the research undertaken in the institution to the widest audience and to reference the associated published work. A number of institutions have reported their experience of initiating an institutional repository to build on their own practices; the TARDis Routemap contributes to this corpus.

Our policy of linking the sustainability of the IR to RAE management is now being emulated by other university IRs, with an increasing recognition that publication recording is an early route to eventual open access.

Outcomes

Although the project has finished we are constantly being asked to share our experiences of the technical, cultural and organizational issues involved in implementing an institutional repository. These aspects were an important part of the project. The lessons learned now seem self evident to us, but new implementers are grateful to discuss experiences and build on policies and strategies that are already tried and tested:

- Make the IR a service not a project from the beginning
- IRs need dedicated technical support to respond immediately to user needs
- Overt researcher mediated support is required and opens opportunities for researcher/librarian dialogue
- The huge amount of advocacy required must be targeted to various levels within a large organization to progress an IR
- Metadata quality control is very labour intensive and a balance needs to be agreed
- Researchers want to create a citation record only once and use it for many purposes

At the beginning of the project we spent more time than we expected on reviewing the EPrints software but the eventual outcome of a new improved version incorporating good information management practices was satisfying. Ensuing versions built upon this, are now used throughout the world. We still feedback to the developer suggestions for new functionality which have arisen during our IR operation; discussion with the eFAIR cluster provides consensus views on software requirements. A long list of both user and admin functionality requirements including branding for individual schools interfaces was submitted to an early discussion meeting *Putting Eprints software into the User Community, SOAS London, 23rd June 2004*. Post TARDis we will continue close collaboration by feeding University of Southampton IR improved functionality developments into the Community EPrints Project which is undertaking the implementation of a supporting mechanism for the maintenance of the open source software.

An exciting part of the project has been the developing awareness by all stakeholders of the uses of an institutional repository. In addition to offering greater research visibility globally, the software functionality provides opportunities for the data within e-Prints Soton to be repurposed for external and internal visibility : webpage population, CVs, RSS feeds to web pages and plasma screens and of course for research recording and performance evaluation. One record for many purposes – this is a vote winner. In addition, the research, learning and teaching communities, are realising that the IR is an ideal digital store for legacy collections and thus hidden grey literature is suddenly being made available.

The main project outcome is the successful migration to a central University funded service. The University Library has taken responsibility for the management of the Southampton Research Repository and an indirect bonus of the project has been the opportunity it has given the Academic Liaison Librarians to penetrate deeply into schools to discuss the IR and open access.

Conclusions

The University of Southampton Research Repository is now becoming an embedded part of the research landscape and we believe the developing open access climate will make it an essential research tool. The support from University Management has been rewarding and the IR has placed the University Library in a pivotal position. Throughout the project there was a need for dedicated technical support and our experience here enabled us to specify a library based technical developer for the university service. It is apparent that "out of the box" IR software will not answer all functionality requirements from individual schools.

Implementing an IR for a large multidisciplinary institution is a large and important undertaking and when labelled as an institutional service, interface aesthetics, navigability, functionality and most of all metadata quality become a significant responsibility.

Implications

The TARDis Project has proved it is possible to take a project based institutional repository through to a core funded service : e-Prints Soton. It offers a platform on which to build and link and populate other business systems eg project management software but also, work will evolve for the IR to take advantage of other university systems eg. for automatic registration, authentication etc. The IR data will be used for the Research Report and will populate the new University Content Management System. At present records are not definitive, but it is envisaged that the IR data will be used for Programme and Project Reviews. The National Oceanography Centre is a joint venture with Natural Environment Research Council and the data underpins the Core Strategic Programme Reviews; the National Health Service working with the University of Southampton Hospitals, has similar requirements. Already depositors are using the IR to make added value elements available – enhanced diagrams and additional data. e-Prints Soton work will be carried forward in a number of new projects such as PRESERV and CLADDIER, where it will provide a building block for collaborative e-Research.

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Synthesis of this report presented by Jessie Hey :

Hey, J,M,N,. Simpson, P. and Carr, L.A. 2005 The TARDis Route Map to Open Access: developing an Institutional Repository Model. In, Proceedings of the 9th ICCC International Conference on Electronics Publishing, Leuven, Jun 2005, (eds. Dobreva, M. and Engelen, J.) Leuven, Belgium : Peeters Publishing, 179-182.

Appendix

Research Support Survey – section on open access and repositories

SECTION E: DISSEMINATION OF YOUR RESEARCH OUTPUT

"Articles freely available online are more highly cited." Nature, 411, p. 521, 2001.

We are setting up a **Southampton e-Print archive** to which we will be asking you to contribute the full text of your pre-published research publications such as articles, reports, conference papers etc. Our aim will be to increase the visibility of your research output and at the same time enhance the University's research profile.

Many other research universities are also setting up Institutional archives. These open access archives will be searchable globally and they will complement existing discipline based archives. Your answers will help us to understand your concerns and work with you on this exciting development.

E1 **Do you electronically disseminate/share the full text of your research output currently? (Do not include access via e-Journals)**

Through:

Your own web page	
Departmental web site	
Project e-Print archive	
Subject-based e-Print archive	
Email list	
Other – please specify	
No, I do not	

E2 **What is your attitude to authors being permitted by publishers to post their articles on their institutional or personal web sites?**

Strongly in favour	
In favour	
Neither in favour or against	
Against	
Strongly against	
Comments?	

E3 **To help you there will be a simple process for you to deposit your publications in the Southampton e-Print archive. Would you prefer to:**

Self deposit your publications	
Provide the file to the e-Print archive for central deposit	
I would prefer not to deposit an electronic copy Please give your reasons	