ENVIRONMENTAL SCAN
BRIEF/EXPORTED RECORD DISPLAYS FOR REPOSITORY VERSIONS
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The purpose of this paper is to review citation practices for repository versions of published articles (i.e. Accepted Manuscripts, commonly referred to as postprints), and to recommend RUcore citation formats for repository versions of "faculty deposits," for use in share functions (exporting, printing, emailing), brief record displays, and cover sheets. Under the Rutgers Open Access policy, which requires that authors deposit at the point the paper is accepted for publication, we can expect most publications to be Accepted Manuscripts (commonly called postprints) or occasionally, when the publisher-branded pdf is allowable, Versions of Record. Author's Originals and Submitted Manuscripts Under Review (commonly called preprints) would be rare.

Note: An article citation can be exported to many different applications, including citation managers such as EndNote, RefWorks, etc. End users generally have to tweak citation manager citations to conform them to citation styles such as APA, MLA, etc. There should be no expectation that repository citations can perfectly export to citation managers in any specified standard format.

We looked primarily at three sources, which are discussed separately in the sections below:

     1) Standard citation style guides (APA, MLA, Chicago Manual of Style)
     2) Lisa Macklin's citation recommendations for repository resources (Emory University)
     3) Repository practices

We believe the first two sources should be weighted over the repository practices, because repositories are still in their infancy and practices are evolving. There is some literature about citing postprints, most of it a few years old. For example, Peter Suber discusses the value of journal title in identifying repository postprints in his "Archived postprints should identify themselves," *SPARC Open Access Newsletter*, May 2, 2005, http://dash.harvard.edu/handle/1/4552037. We continue to look for literature on this subject.

Finally, in the Open Access Policy FAQs currently under development, we will include guidance for researchers citing repository versions.

1. Standard citation styles[1] for unpublished or repository versions of articles.

APA (*Publication Manual of the American Psychological Association*, 6th ed. and the *APA Style Guide to Electronic References*, 2007 and 2012[2]) Gives instructions for e-publication ahead of print, or early online publication. "Definitions of advance online publication vary among journal publishers. Sometimes the term refers to work that has been peer reviewed but may not have been copyedited or formatted for final production. It may also refer to work that has been reviewed, copyedited, and typeset but has not yet been given volume, issue, or page numbers (which would be assigned at the time of print publication)."

> Author, A.A., Author, B.B., & Author, C.C. (year). Title of article. *Title of Periodical, xx,* pp-pp. Advance online publication. Retrieved from http://xxxx.

or if the article has a DOI:

> Von Ledebur, S. C. (2007). Optimizing knowledge transfer by new employees in companies. *Knowledge Management Research &Practice.* Advance online publication. http://dx.doi.org/10/1057/palgrave.kmrp.8500141

The *APA Style Guide* also gives instructions for an "in press article," i.e., the pre-publication version that has been retrieved from an institutional or personal website, as authorized by some journal publishers.

> Author, A.A. (in press). Title of article. *Title of Journal.* Retrieved from [URL]

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[1] From *Online Writing Lab (OWL) at Purdue University.* Retrieved from https://owl.english.purdue.edu/owl, April 20, 2014.
[2] We directly consulted the APA *Publication Manual* and both editions of the *Style Guide to Electronic References* (i.e. did not rely on Purdue OWL).

The *APA Style Guide* (2007) gives instructions for the draft version of an article, i.e. one that has been submitted but not reviewed. In these cases, journal title should *not* be included in the citation.

> Author(s). (n.d.). *Article title.* Manuscript in preparation [or 'unpublished manuscript' or 'manuscript submitted for publication']. Retrieved March 12, 2007, from [url]

The *Publication Manual* (p. 31) gives instructions for any draft unpublished material, under "Unpublished and Informally Published Manuscript": "Unpublished work includes work that is in progress, has been submitted for publication, or has been completed but not submitted for publication. This category also includes work that has not been formally published (such as lecture notes or PowerPoint slides) but is available on a personal or an institutional website, in an electronic archive such as ERIC, or in a preprint archive."

> Author, A. A. (year). Title of manuscript. Retrieved from http://xxxxx

MLA (*MLA Handbook for Writers of Research Papers,* 7th ed., and the *MLA Style Manual and Guide to Scholarly Publishing,* 3rd ed.). Does not include specific instructions for repository versions or unpublished materials. However, it does give instructions for "Digital Files (PDFs, MP3s, JPEGs)": Determine the type of work to cite (e.g., article, image, sound recording) and cite appropriately. End the entry with the name of the digital format (e.g., PDF, JPEG file, Microsoft Word file, MP3). If the work does not follow traditional parameters for citation, give the **author's name**, the **name of the work**, the **date of creation**, and the **medium of publication**. Use Digital file when the medium cannot be determined. For example:

> Council of Writing Program Administrators, National Council of Teachers of English, and National Writing Project. Framework for Success in Postsecondary Writing. CWPA, NCTE, and NWP, 2011. PDF file.

> Bentley, Phyllis. "Yorkshire and the Novelist." The Kenyon Review 30.4 (1968): 509-22. JSTOR. PDF file.

Chicago Manual of Style (The Chicago Manual of Style, 16th ed.). Does not include specific instructions for repository versions. Instructions for unpublished materials are limited to theses, dissertations, presentations, and examples only address theses.

2. Lisa Macklin's citation recommendations for repository resources (Emory University)

Lisa Macklin, Director of the Scholarly Communications Office at Emory's Robert W. Woodruff Library, has authored an Open Access LibGuide which includes citation guidelines for various types of repository resources (http://guides.main.library.emory.edu/OA).[3] Macklin provides the following guidelines for citing preprint and postprint according to APA and CMS. Note that in RUcore, DOIs would be used instead of URLs.

Macklin's APA recommendation includes the periodical title for both preprints and postprints, but not the volume/issue number. CMS omits journal title for preprints, but for postprints, includes both journal title and issue number. In all cases, there are other indications (highlighted below) the article is not the final published version.

APA

Pre-prints (prior to peer-review), and thus treated as unpublished material

> **Author, A.A. (in press). Title of article. Title of Periodical. Retrieved from [identifier]**

> Example:

> > Briscoe, R. (in press). Egocentric spatial representation in action and perception. Philosophy and Phenomenological Research. Retrieved from http://cogprints.org/5780/1/ECSRAP.F07.pdf

Post-prints (after peer review, accepted for publication, but prior to publication)

> **Author, A.A. (year). Title of article. Title of Periodical. Advance online publication. doi: xx.xxxxxxxxxx**

> Example:

> > Von Ledebur, S.C. (2007). Optimizing knowledge transfer by new employees in companies. Knowledge Management Research & Practice. Advance online publication. doi: 10.1057/palgrave.kmrp.8500141

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[3] Lisa Macklin holds a JD in law, and MAs in English and Library and Information Science. Emory has had an Open Access Policy since 2011 and its repository is exemplary in many respects.

Chicago Manual of Style

Pre-prints (prior to peer-review), and thus treated as unpublished material

> **Author Last, First. "Article Title." <mark>Preprint, submitted Month Day, Year</mark>. URL.**

> Example:

>> Lein, Matthias. "Characterization of Agnostic Interactions in Theory and Computation." Preprint, submitted July 10, 2008. http://xxx.lanl.gov/abs/0807.1751.

Post-prints (after peer review, accepted for publication, but prior to publication)

If an article has been accepted for publication by a journal but has not yet appeared, forthcoming stands in place of the year and the page numbers.

> **Author Last, First. "Article Title." Journal Title Issue <mark>(forthcoming)</mark>.**

> Example:

>> Author, Margaret M. "Author Title." Journal 98 (forthcoming).

3. Repository Practices

Repository practices in this area are diverse and in their infancy; thus repository practices should be taken with a grain of salt. In many of the repositories checked, it was virtually impossible to locate a postprint version in order to see how it was cited.

In our efforts to identify model repositories, we used the following criteria:

- Open access leader or possessing an institutional repository which is a model (based primarily on number and effectiveness of repository features)
- Rutgers University peer or aspirant (identified from various recent strategic planning documents)
- Rutgers University Libraries peer or aspirant (http://www.libraries.rutgers.edu/rul/staff/planning/reports/peer_and_aspirant_institutions_13-14.pdf)
- CIC member (http://www.cic.net/about-cic/member-universities)
- AAU member (public universities only) (http://www.aau.edu/about/article.aspx?id=5474)
- Open Access Policy implementer (http://roarmap.eprints.org/ and http://www.opendoar.org/)
- Fedora implementer[4]

The 60 institutions meeting one or more of these criteria were ranked within five tiers:

> Tier 1 - RUL or RU peer/aspirant which is either an OA leader/model or which has an Open Access policy.

> Tier 2 - RUL or RU peer/aspirant but which has no Open Access policy.

> Tier 3 - Not an RUL or RU peer/aspirant but has an Open Access policy.

> Tier 4 - Not an RUL or RU peer/aspirant, has no Open Access policy, but has a repository.

> Tier 5 - Not an RUL or RU peer/aspirant, no Open Access policy, no repository. (All Universities within the first 4 tiers have a repository.)

This paper looked at practices of the "Top 10" (Tier 1) repositories, which are summarized, along with the Macklin recommendations, on the table below. See the Appendix for the complete tiered list of model repositories.

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[4] We checked http://registry.duraspace.org/registry/fedora but it's not always clear if it's the institutional repository that is the Fedora implementation.

Summary of elements used in citations for <u>postprints</u> in APA, Macklin and the Tier 1 repositories

	Article title	Author(s)	Date	Journal title	Journal vol/issue	Identifier	Version	Publisher of journal	Other
APA AM (epub ahead of print)	x	x	x	x	vol	DOI or URL			1, 2
APA AM	x	x	"(in press)"	x		URL			
Macklin (APA)	x	x	x	x		DOI			2
Macklin (CMS)	x	x	"(forthcoming)"	x	issue				
Columbia									*
Duke									*
Emory	x	x	x	x					3
GA Tech	x	x	x				x		
Harvard									*
Indiana	x	x	sometimes					x	4, 5
MIT	x	x	x					x	
U of CA									*
U of KS	x	x	x						
U of Montreal	x	x	x						

NOTES:

1. Includes pagination if available

2. Includes "Advance online publication." Cf. example above.

3. Citation to published version clearly distinguished in full record display, although the "postprint" version statement is mixed into the middle of that citation, both in full record and on cover sheet.

4. Additional information seems to vary; for examples, see "Deconstructing Faculty Status: Research and Assumptions" and "Pomponazzi and Aquinas on the Intellective Soul"

5. Includes journal publisher, which wouldn't seem that helpful

*Versions difficult or impossible to identify; cannot find a postprint.

Note that some also include a portion of the abstract, but this was not indicated in the table, since it's not part of a standard citation.

4. Our Recommendations

For an Accepted Manuscript (AM), use the following elements in the citation. *An Accepted Manuscript is the author's manuscript for a work that has been accepted for publication.*

- Author(s)
- Article title
- Journal title
- Date
- DOI

For an Author's Original (AO) or a Submitted Manuscript Under Review (SMUR), use the following elements in the citation. *An Author's Original is the author's original version of a work, which may or may not have been subsequently published. A Submitted Manuscript Under Review is the author's manuscript for a work which, at the time of deposit to RUcore, was under formal review managed by a socially recognized publishing entity.*

- Author(s)
- Article title
- Date
- DOI

APPENDIX
Sixty Repositories Considered as Possible Models

Tier 1

Open access leader or possessing an institutional repository which is a model; RUL or RU peer/aspirant which is either a model or which has an Open Access policy.

Columbia University
Duke University
Emory University
Georgia Institute of Technology
Harvard
Indiana University
MIT
University of California
University of Kansas
University of Montreal

Tier 2

RUL or RU peer/aspirant but which has no Open Access policy.

Iowa State University
Ohio State University
Pennsylvania State University
Purdue University
Stony Brook University-State University of New
      York
Texas A&M University
University at Buffalo, The State University of New
      York
University of Arizona
University of Colorado Boulder
University of Florida
University of Illinois at Urbana-Champaign
University of Iowa
University of Maryland
University of Michigan
University of Minnesota
University of Missouri, Columbia
University of Nebraska--Lincoln
University of North Carolina at Chapel Hill
University of Oregon
University of Pittsburgh
University of Texas at Austin
University of Virginia
University of Washington
University of Wisconsin-Madison

Tier 3

Not an RUL or RU peer/aspirant but has an Open Access policy.

Amherst College
Bryn Mawr College
Bucknell University
California Institute of Technology
California State University, Northridge
College of Wooster
Connecticut College
Drake University
Lafayette College
Oberlin College
Oregon State University
Princeton University
Rice University
Rollins College
Trinity University
University of Hawaii at Manoa Library
University of North Texas
University of Rhode Island
Utah State University
Virginia Institute of Technology
Wellesley College

Tier 4

Not an RUL or RU peer/aspirant, has no Open Access policy, but has a repository.

Johns Hopkins
University of Pennsylvania
Washington University (St. Louis)

Tier 5

Not an RUL or RU peer/aspirant, no Open Access policy, no repository.

Michigan State University
Northwestern University