



Research Libraries and Open Access

Issues and Actions

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Association of Research Libraries

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Defining Scholarly Communication

Scholarly Communication Cycle



The Players

- Researchers/Authors/
- Readers
- Libraries
- Publishers
 - Scholarly societies
 - University presses
 - Commercial enterprises
- Academic administrators
- Students
- Taxpayers
- Non-profit organizations
- Government agencies
- Funding agencies
- Legislators at national and state government levels

Issues and Trends

- Open Scholarship
 - Open access
 - Open data
 - Open textbooks/teaching materials
- Digital Repositories
- Licensing and Bundles
- Library Publishing
- Copyright and Author Rights

The Trend Towards Open

- Open access
- Open data
- Open educational resources

<http://www.arl.org/focus-areas/open-scholarship>

<http://www.sparc.arl.org/issues>

First Open Access Statements

- Budapest Open Access Initiative
www.soros.org/openaccess/
- Bethesda Statement on Open Access Publishing
www.earlham.edu/~peters/fos/bethesda.htm
- The Wellcome Trust
www.wellcome.ac.uk/en/1/awtvispolpub.html
- Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities
www.zim.mpg.de/openaccess-berlin/berlindeclaration.html

The Means

Two approaches:

Open-access journals – require alternative business models to replace subscription-based models (the gold road)

Open-access archives – publicly available digital repositories, exist alongside traditional publishing (the green road)

How open is it?

Defining Open Access for Journals

Open Access is a means of disseminating scholarly research that breaks from the traditional subscription model of academic publishing. It has the potential to greatly accelerate the pace of scientific discovery, encourage innovation, and enrich education by reducing barriers to access. Open Access shifts the costs of publishing so that readers, practitioners, and researchers obtain content at no cost. However, Open Access is not as simple as "articles are free to all readers." Open Access encompasses a range of components such as readership, reuse, copyright, posting, and machine readability. Within these areas, publishers and funding agencies have adopted many different policies, some of which are more open and some less open. In general, the more a journal's policies codify immediate availability and reuse with as few restrictions as possible, the more open it is.

Journals can be more open or less open, but their degree of openness is intrinsically independent from their:

- Impact - Prestige - Quality of Peer Review
- Peer Review Methodology - Sustainability
- Effect on Tenure & Promotion - Article Quality

How To Use This Guide

In 2002, the Budapest Open Access Initiative articulated the basic tenets of Open Access for the first time. Since then, thousands of journals have adopted policies that embrace some or all of the Open Access core components related to: readership, reuse, copyright, posting, and machine readability. However, not all Open Access is created equal. For example, a policy that allows anyone to read an article for free six months after its publication is more open than a policy that creates a twelve month embargo; it is also less open than a policy that allows for free reading immediately upon publication.

This guide will help you move beyond the seemingly simple question, "Is this journal Open Access?" and toward a more productive alternative, "HowOpenist?"

Use it to:

- Understand the components that define Open Access Journals
- Learn what makes a journal more open vs. less open
- Make informed decisions about where to publish

This Guide Is A Collaboration Among:



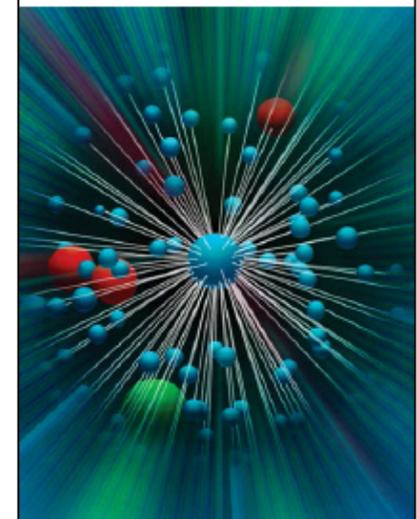
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and Public Library of Science

HowOpenist?

OPEN ACCESS SPECTRUM



How open is it?

Access	Reader Rights	Reuse Rights	Copyrights	Author Posting Rights	Automatic Posting	Machine Readability	Access
 OPEN ACCESS 	Free readership rights to all articles immediately upon publication	Generous reuse & remixing rights (e.g., CC BY license)	Author holds copyright with no restrictions	Author may post any version to any repository or website	Journals make copies of articles automatically available in trusted third-party repositories (e.g., PubMed Central) immediately upon publication	Article full text, metadata, citations, & data, including supplementary data, provided in community machine-readable standard formats through a community standard API or protocol	 OPEN ACCESS 
	Free readership rights to all articles after an embargo of no more than 6 months	Reuse, remixing, & further building upon the work subject to certain restrictions & conditions (e.g., CC BY-NC & CC BY-SA licenses)	Author holds copyright, with some restrictions on author reuse of published version	Author may post final version of the peer-reviewed manuscript ("postprint") to any repository or website	Journals make copies of articles automatically available in trusted third-party repositories (e.g., PubMed Central) within 6 months	Article full text, metadata, citations, & data, including supplementary data, may be crawled or accessed through a community standard API or protocol	
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What about research institutions?

What will, or should, the future scholarly communications system look like? First, every university that produces research should have a publishing strategy.

Ithaka Report, 2007

Open Access and the Academy

"Open access serves scholarly communication by: facilitating text-mining; data and literature integration; construction of large- scale knowledge structures; and creation of co-laboratories that integrate the scholarly literature directly into knowledge creation and analysis environments...

It also honors our commitments to the democratization of teaching, learning, scholarship, and access to knowledge throughout our society and globally."

- Clifford Lynch, CNI, Closing comments, ARL/CNI/SPARC Public Access Forum, October 20, 2006

Initial Research Library Strategies

- Outreach and education on open access and attendant issues
- Development of and support for institutional and disciplinary repositories

Faculty Activism

February 13, 2008

News Office Multimedia

Slide Shows

Videos

Special Presentations

Harvard to collect, disseminate scholarly articles for faculty

Legislation designed to allow greater worldwide access

By Robert Mitchell
FAS Communications

In a move to disseminate faculty research and scholarship more broadly, the Faculty of Arts and Sciences (FAS) voted Tuesday (Feb. 12) to give the University a worldwide license to make each faculty member's scholarly articles available and to exercise the copyright in the articles, provided that the articles are not sold for a profit.

In proposing the legislation, Stuart M. Shieber, a professor at FAS, said, "There is no question that scholarly journals have historically allowed scholars to distribute their research to audiences around the world. But, the scholarly publishing system has become far more restrictive than it need be. Many publishers will not even allow scholars to use and distribute their own work. And, the cost of journals has risen to such astronomical levels that many institutions and individuals have cancelled subscriptions, further reducing the circulation of scholars' works.

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MIT faculty open access to their scholarly articles

March 20, 2009

CAMBRIDGE, Mass., March 20 - In a move aimed at broadening access to MIT's research and scholarship, faculty at the Massachusetts Institute of Technology have voted to make their scholarly articles available to the public for free and open access on the Web.

The new policy, which was approved unanimously at an MIT faculty meeting on Wednesday, March 18 and took immediate effect, emphasizes MIT's commitment to disseminating the fruits of its research and scholarship as widely as possible.

"The vote is a signal to the world that we speak in a unified voice; that what we value is the free flow of ideas," said Bish Sinyal, chair of the MIT Faculty and the Ford International Professor of Urban Development and Planning.

Under the new policy, faculty authors give MIT nonexclusive permission to disseminate their journal articles for open access through DSpace, an open-source software platform developed by the MIT Libraries and Hewlett Packard and launched in 2002. The policy gives MIT and its faculty the right to use and share the articles for any purpose other than to make a profit. Authors may opt out on a paper-by-paper basis.

MIT's policy is the first faculty-driven, university-wide initiative of its kind in the United States. While Harvard and Stanford universities have implemented open access mandates at some of their schools, MIT is the first to fully implement the policy university-wide as a result of a faculty vote. MIT's resolution is built on similar language adopted by the Harvard Faculty of Arts & Sciences in 2008.

Deposit Policies



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- [BIOFBE](#) - BIOFBE - 30-Jan-2014
- [Sapient Press](#) - Sapient Press - 30-Jan-2014

Other SHERPA Services

- [SHERPA/FACT](#) - Funders & Authors Compliance Tool
- [SHERPA/JULIET](#) - Research funders' open access policies

JISC

Author Rights

- To publish and distribute a work in print or other media
- To reproduce it (e.g., through photocopying)
- To prepare translations or other derivative works
- To perform or display the work publicly
- To authorize others to exercise any of these rights

Actions/Advocacy

- NIH Public Access Policy
- 2014 Omnibus Appropriations Bill
- The Fair Access to Science and Technology Research Act of 2013 (FASTR)
- Executive Directive on Increasing Access to the Results of Federally Funded Scientific Research
- Oppose Section 302 of the proposed FIRST Act
- Support the Affordable College Textbook Act

<http://www.sparc.arl.org/advocacy/national>

NIH Public Access Policy

U.S. Department of Health & Human Services

National Institutes of Health Public Access

The Public Access Policy ensures that the public has access to the published results of NIH funded research to help advance science and improve human health.

What Submit
Funded Final
Articles to
PubMed Central

on Methods

Methods

Frequently Asked Questions

Publications and

Details

NIH Public Access Policy Details

The NIH Public Access Policy implements Division G, Title II, Section 218 of PL 110-161 (Consolidated Appropriations Act, 2008). The law states:

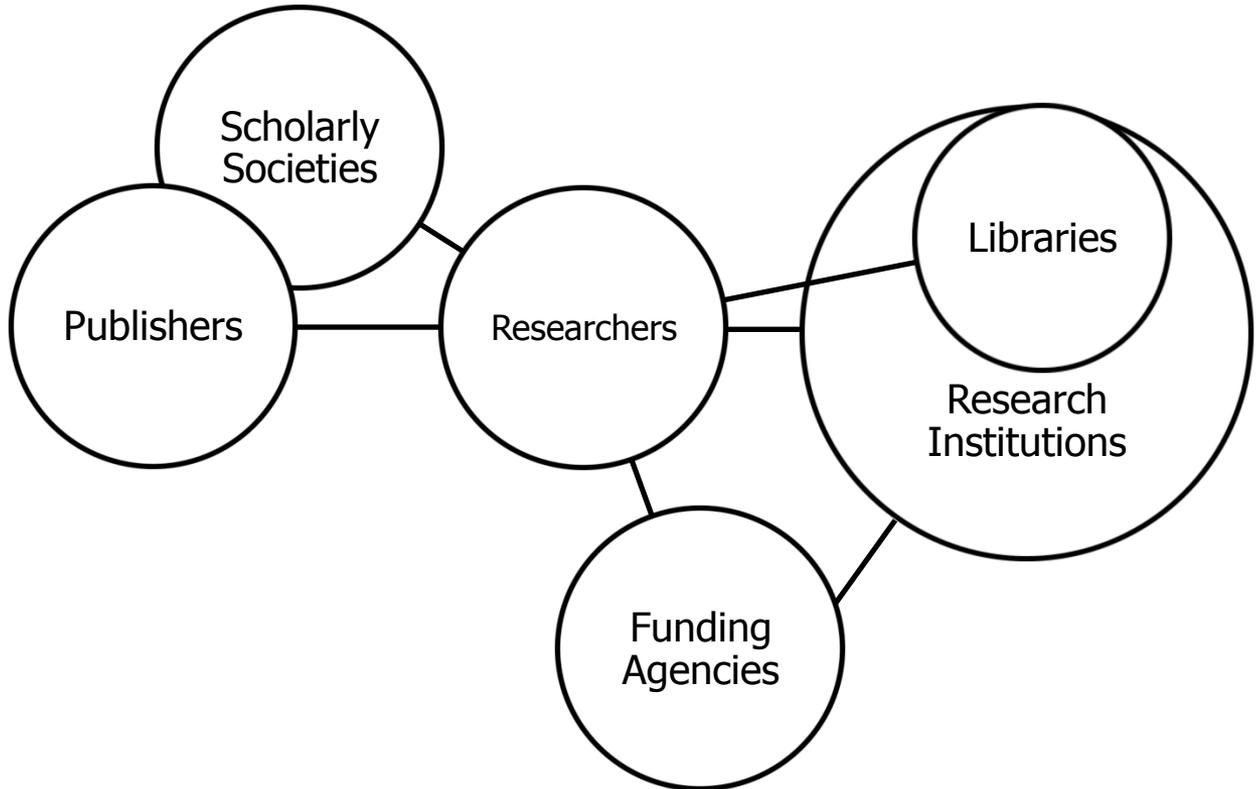
The Director of the National Institutes of Health shall require that all investigators funded by the NIH who have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, That the NIH shall implement the public access in a manner consistent with copyright law.

- [NIH Guide Notice for Public Access](#) (January 11, 2008)
- [Reminder Concerning Grantee Compliance with the Public Access Policy and Related NIH Monitoring Activities](#) (September 23, 2008)
- [The Omnibus Appropriations Act of 2009 Makes the NIH Public Access Policy Permanent](#) (March 19, 2009)

SHARE: SHared Access Research Ecosystem

- Partnership between Higher Education Associations
 - Association of American Universities
 - Association of Public and Land-grant Universities
 - Association of Research Libraries
- Manage their digital assets
- Serve as a response to the 2013 White House directive on public access to federally funded research and data

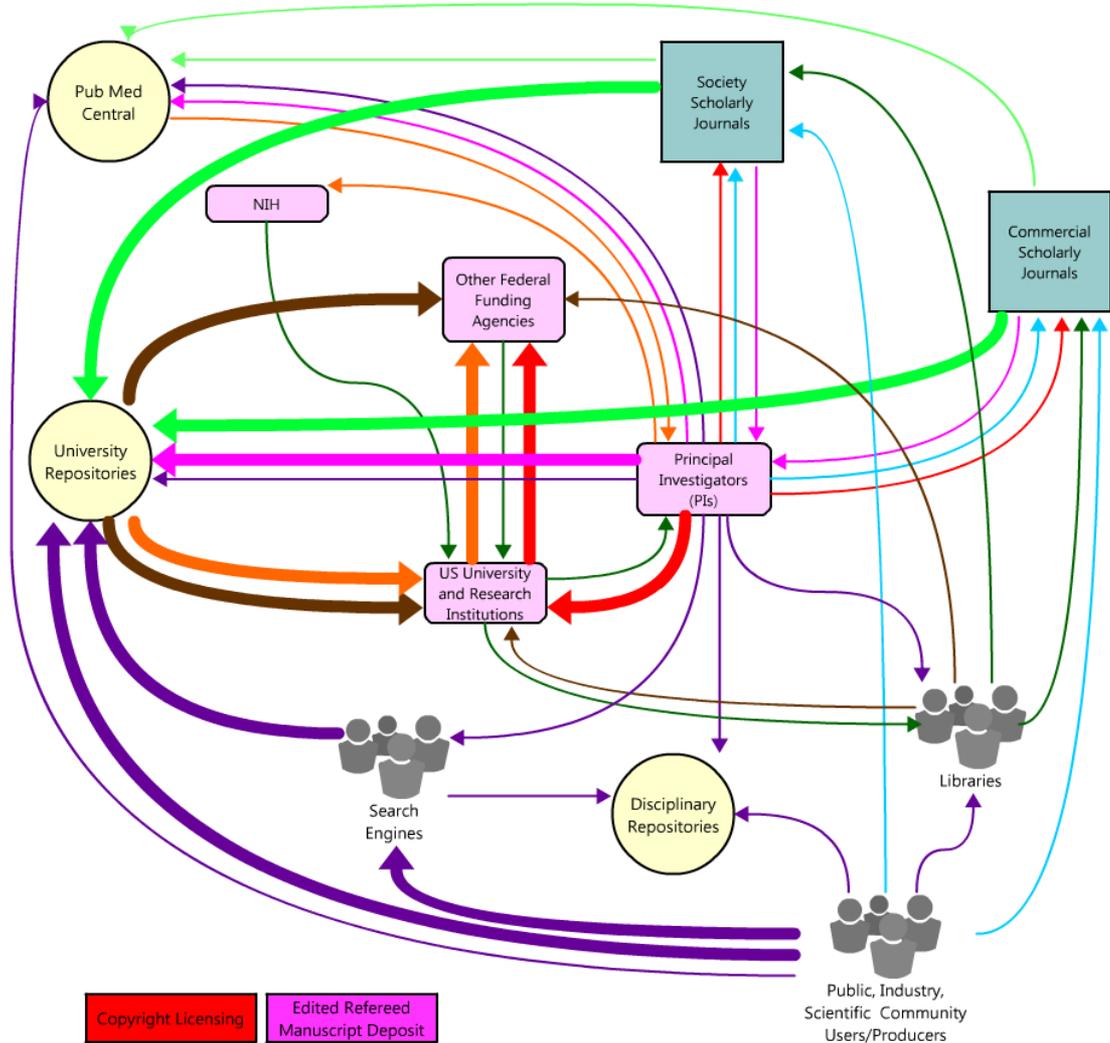
It's an Ecosystem



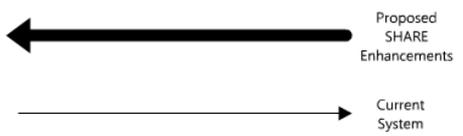
What problem are we trying to solve?

- Current funder workflows have 20+ steps
- Multiple funders = tangle of compliance requirements and procedures
- Potential to overwhelm PI's and their administrative assistants
- Single deposit workflow = more research time, less hassle
- Better compliance = more information to be discovered, reused, and mined

SHared Access Research Ecosystem



Copyright Licensing	Edited Refereed Manuscript Deposit
Compliance Certification	Preservation
Direct Article Deposit	Money
Scholarly Manuscripts	Access



Open Data



Other Issues

- Licensing and the marketplace
- Business models for open access
- University/library publishing
- New forms of publishing and dissemination of scholarship

Open Educational Resources

- Open Educational Resources are teaching, learning, and research resources released under an open license that permits their free use and repurposing by others. OERs can be full courses, course materials, lesson plans, open textbooks, learning objects, videos, games, tests, software, or any other tool, material, or technique that supports access to knowledge.

Current Research Library Open Access Activities

- Education and outreach
 - Supporting campus open access movement (COAPI)
 - Providing information on copyright and author rights management
- Offering publishing services
 - (e.g., Library Publishing Coalition)
- Hosting and Managing Digital Content
 - Extending repository services
 - Digitizing content
- Support Research Management, Assessment, and Impact



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