Open & Restricted Access: Preserving Community

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Copyright Utopia – May 22, 2007
Overview

• Not utopia
• Utopia
• Going green

Green OA (self-archiving)

– OA through a repository or personal website
– Immediate or delayed
– Could be any version
– Free
Not utopia – Old news

- **Promotion & tenure system**
  - Created volume problem that led to commercial publishing
  - Values publishing in prestigious traditional journals

- **Economics of traditional scholarly communication**
  - Universities & tax payers subsidize faculty research
  - Faculty give copyright away to publish in prestigious traditional journals
  - Libraries & tax payers must purchase research findings

- **Fiscal reality of libraries**
  - Journal prices up 167% from 1986 to 2005
  - Relatively flat acquisitions budget ➔ Journal cancellations ➔ Access problems ➙ Acute for graduate students
Not utopia – Many faculty …

• Don’t understand or care about copyright
  – Don’t know that copyright is a bundle of rights that can be managed separately
  – Don’t consider copyright terms when choosing a publisher
  – Don’t try to negotiate copyright transfer terms
  – Don’t read copyright transfer agreements carefully if at all
  – Don’t understand or care about their rights in their agreements
    • Until they want to exercise a right they signed away
  – Don’t think they have any choice but to sign away the entire bundle of rights

Interviewed stratified random sample of 87 faculty
Not utopia – Most faculty …

- Value the web as tool for access, not dissemination
- Don’t know what open access means
  - Don’t know about the impact advantage
  - Think publishers are best at disseminating their work

Ware (2006) and Hess, Wigand, Mann, & von Walter (2007) reported similar results: Most authors are ignorant or indifferent to the potential benefits of self-archiving
Not utopia – Many faculty …

• Don’t perceive a problem with access to their work
• Don’t have the time, tools or know-how to self-archive
• Don’t know if they have the right to self-archive
• Don’t self-archive their work

Some faculty think self-archiving threatens their scholarly society.
Not utopia – Many faculty …

- Don’t understand the impact of journal prices on access
- Are more concerned about OA journals & what their peers are doing than dysfunctions in scholarly communication
  – Prestige, quality, subject matter, & sustainability of OA journals

Similar findings in Hess, Wigand, Mann, & von Walter (2007)
Not utopia – Publishers’ pit bull

• **Pit bull media message**
  – Traditional publishing = *peer review*
  – *Mandated* OA = socialized science
    • Will reduce $$ available for research & undermine science
    • Government selection & self-promotion (censorship)

• **Issues**
  – OA does *not* mean no peer review
  – OA will *increase* the efficiency of R&D
    • Increased accessibility & efficiency would be worth millions of dollars annually
      Houghton, Steele, & Sheehan (September 2006)
    • Access by “cherry picking” what is affordable means researchers potentially miss important & relevant results
      Brody (May 2006)
Not utopia – Publishers’ research

• Publishing consortium hires consultants to identify how mandatory self-archiving can co-exist with subscriptions
  – Embargo of 12+ months for green OA
  – OR sponsorship of pay-to-publish gold OA
  – Otherwise libraries will cancel journals

• Issues
  – Questionable publisher sponsored research
    • Speculation about what if ….
    • Full report not available; summary does not describe sample
    • No information available about the consultants
  – Libraries will cancel journals regardless of OA because of prices
    • Primarily an issue with commercial publishers
Not utopia – Publisher positions

• Force authors who want green OA to buy gold OA
• Get paid to deposit green OA in PubMed
  – Previously allowed immediate self-archiving on personal website or institutional repository
  – The new deal eliminates the self-archiving embargo on one journal title, but introduces a six-month embargo on other titles
  – Issues
    • Publisher selection & self-promotion?
    • Will this load (skew) PubMed with this publisher’s content?

Publisher compensation for green OA
Utopia – Faculty

• Understand and care about copyright

• Make informed decisions about copyright transfer & retention
  – Understand and reap the benefits of open access
  – Use appropriate Creative Commons licenses
to their advantage and to the advantage of users

• Self-archive in compliance with laws, policies & negotiated agreements

• Raise the impact factor of OA journals

• Start OA or reasonably priced journals
Utopia

• Federal Research Public Access Act (FRPAA) becomes law and model for other funding agencies

• Funding models are developed & tested to enable OA, preserve peer review, and sustain scholarly societies

• Anti-trust laws prevent publisher mergers that create veritable monopolies and inflate prices

• Copyright balance is restored

• Tools are provided to help determine copyright status and ownership
Utopia

• Media messaging does not replace intellectual debate and quality research about scholarly communication

• Responsible research is conducted to assess and address
  – Economics and concerns of scholarly societies
  – Factors affecting OA practice across disciplines
  – The impact of green OA on subscriptions
  – The impact of journal pricing on subscriptions

• Promotion and tenure system and other evaluators adopt new measures of quality
How do we go green?

• Understand faculty culture
• Understand cultural change
• Understand faculty
• Clarify goals and objectives
• Develop and implement strategic plan

**Green** = A supporter of a social and political movement that espouses global environmental protection, bioregionalism, social responsibility, and nonviolence.

**Green building** = Sustainable construction and design
Understand faculty culture

- Each academic discipline has its own culture that determines the risks & benefits of open access

- **Computer Science**: 56%
- **Engineering**: 25%
- **Science**: 17%
- **Public policy**: 17%
- **Business**: 14%
- **Humanities & social science**: 12%
- **Fine arts**: 0%
Understand cultural change

• If there is a gap between the current culture and strategic objectives, the current culture will win
  – Inertia maintains the status quo with ease

• Cultural change happens after people experience sustained benefits

• People must be both willing and able to change
  – Training enables change
  – Consequences motivate change
    • Reward is incentive to adopt new vision
    • Pain is incentive to abandon status quo

Understand faculty

• Advancement and stature – promotion and tenure – are more important than making work publicly available

• Believe traditional journals will preserve their legacy
  – Insecure about copyright and publisher self-archiving policies
  – Concerned about OA journals

• Loyal to their discipline & community of peers
  – Most who self-archive use personal or department websites or discipline repositories – control organization & access
    • IRs are redundant, have a learning curve & little community value
  – Waiting for peers to self-archive or publish OA
Faculty incentives to self-archive

1. Easy-to-use tools & support
2. Publisher behavior
3. Peer behavior
4. Time & confidence
5. Better understanding of OA
6. External mandate or request
7. Evidence of access problem
8. Internal request

Some will not negotiate
Recommend collective bargaining
Want the university to negotiate for them
Incentive to abandon status quo

- Currently many faculty don’t perceive an access problem
  - Work often circulates among peers prior to publication
  - After publication, either the library subscribes to the journal, the article has been self-archived, or faculty use interlibrary loan (ILL) or contact the author for a copy

- This may change if publishers succeed in ending ILL of © journal articles
  - Replace ILL with document delivery
  - Libraries cannot absorb the cost
  - Will faculty pay $30+ per article?
Clarify goals & objectives

• Goals
  – Facilitate self-archiving becoming the institutional norm
  – Support & help shape public & institutional policy
  – Encourage & support alternative journals, preferably OA

Objectives
  – Educate about copyright, OA and publisher OA policies
  – Provide training & tools to help faculty
    • Retain the right to self-archive
    • Self-archive their work
Authors’ Rights and Wrongs Program

- **Ongoing educational program started spring 2007 for Carnegie Mellon faculty and graduate students**
  - Sponsored by University Libraries & Office of Legal Counsel
  - Recruiting faculty to help plan the program
  - Aim for 2 to 4 events per semester
  - Scheduled during free time, 4:30-6:00 pm
  - In person, live webcast, video-recorded
    - More people attend webcast than in person
    - Video available OA on library web site
  - Heavily publicized
    - Events lasting longer than planned because of lively Q&A
Current action items

1. *Easy-to-use tools & support*
   - Implementing hosting of the authors’ addendum generator developed by SPARC and Creative Commons
   - Working with Computing Services and faculty to design self-archiving drag-and-drop tool and related policies
   - Creating open access / scholarly communication website

2. *Publisher behavior*
   - Preparing list of journal titles and OA policies per department (requested by faculty)
Current action items

3. Peer behavior
   - Planning study of faculty self-archiving practices
     • Actual self-archiving practice per department
     • Opportunity to self-archive per department
   - Gaining support for OA resolution to be presented to Faculty Senate Fall 2007
     • Encourage faculty to retain the right and to self archive
     • Encourage university to provide easy-to-use tools

5. Better understanding of OA
   - Planning program focus & events for 2007-08
     • Benefits of OA, copyright
Thank you!

Open Access Advocacy
Newswatch www.library.cmu.edu/OtherInfo/Open_Access.html
Authors’ Rights & Wrongs www.library.cmu.edu/AuthorsRights.html
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