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Open and Restricted Access: Preserving Community

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Open & Restricted Access: Preserving Community

Denise Troll Covey

Principal Librarian for Special Projects, Carnegie Mellon

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

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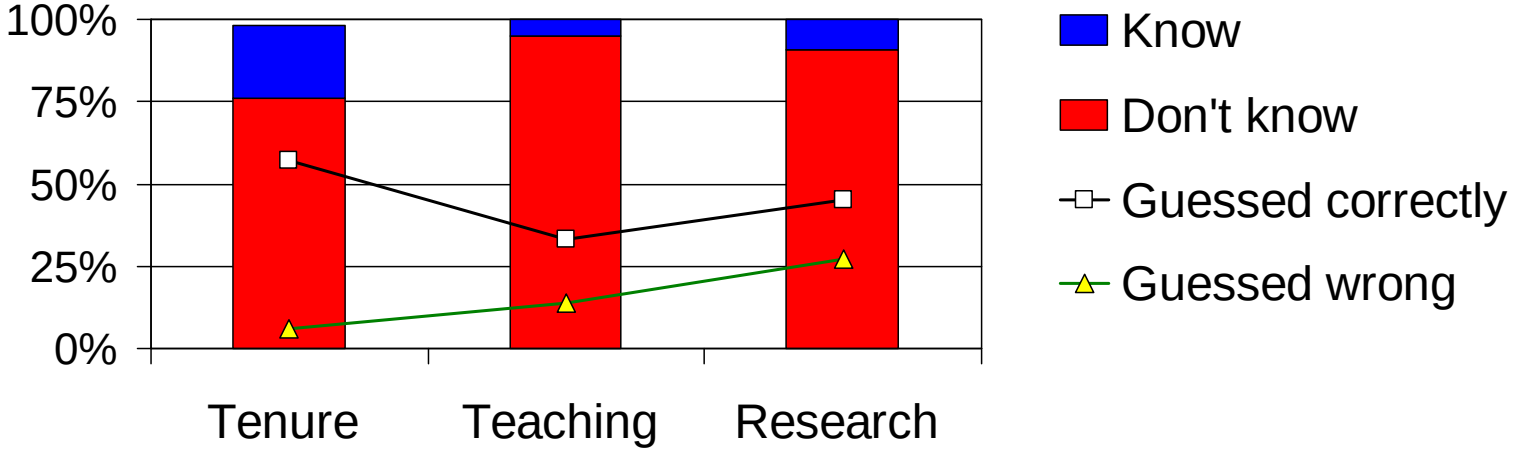
Not utopia – Most faculty …

- **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

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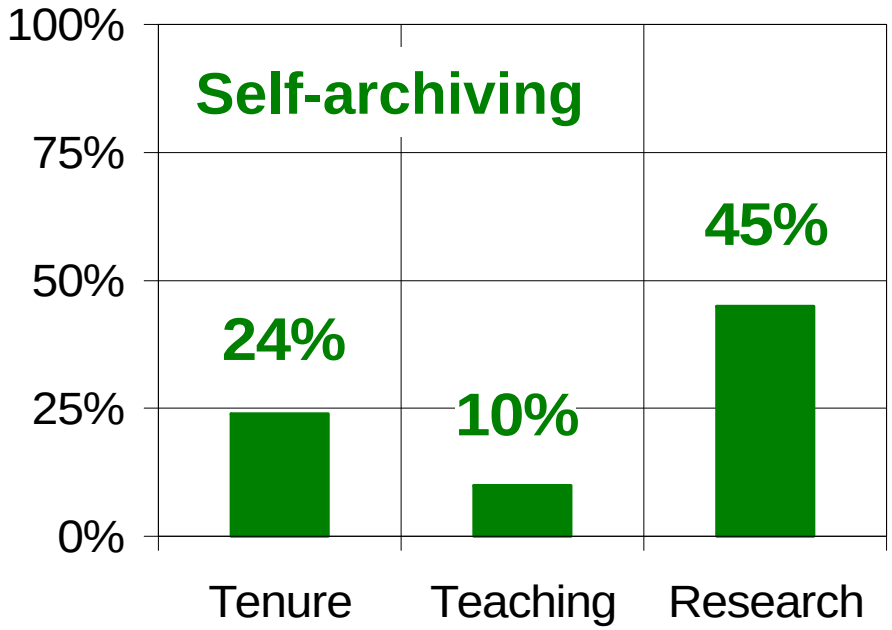
Not utopia – Many faculty …

- 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.

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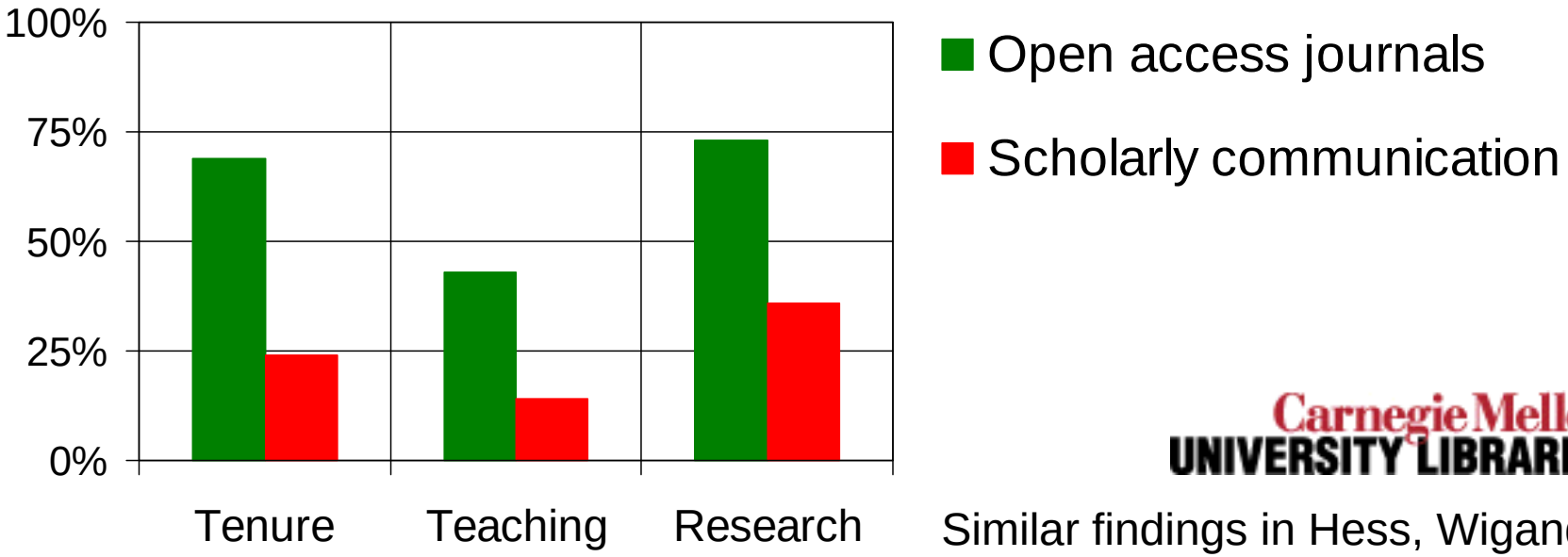
Not utopia – Many faculty …

- 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



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Similar findings in Hess, Wigand, Mann, & von Walter (2007)

Not utopia – Publishers' pit bull

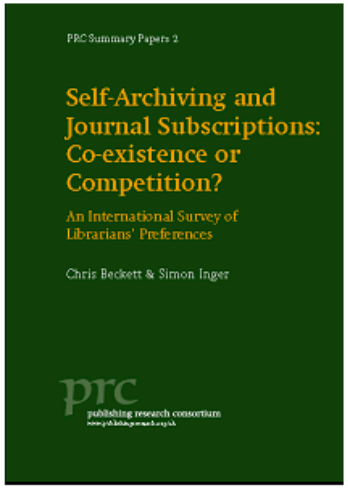
- **Pit bull media message**
  - Traditional publishing = ***peer review***
  - ***Mandated*** OA = socialized science
    - Will reduce $$ available for research & undermine science
    - Government selection & self-promotion (censorship)
- **Issues**
  - OA does *not* mean no peer review
  - OA will *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?

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?

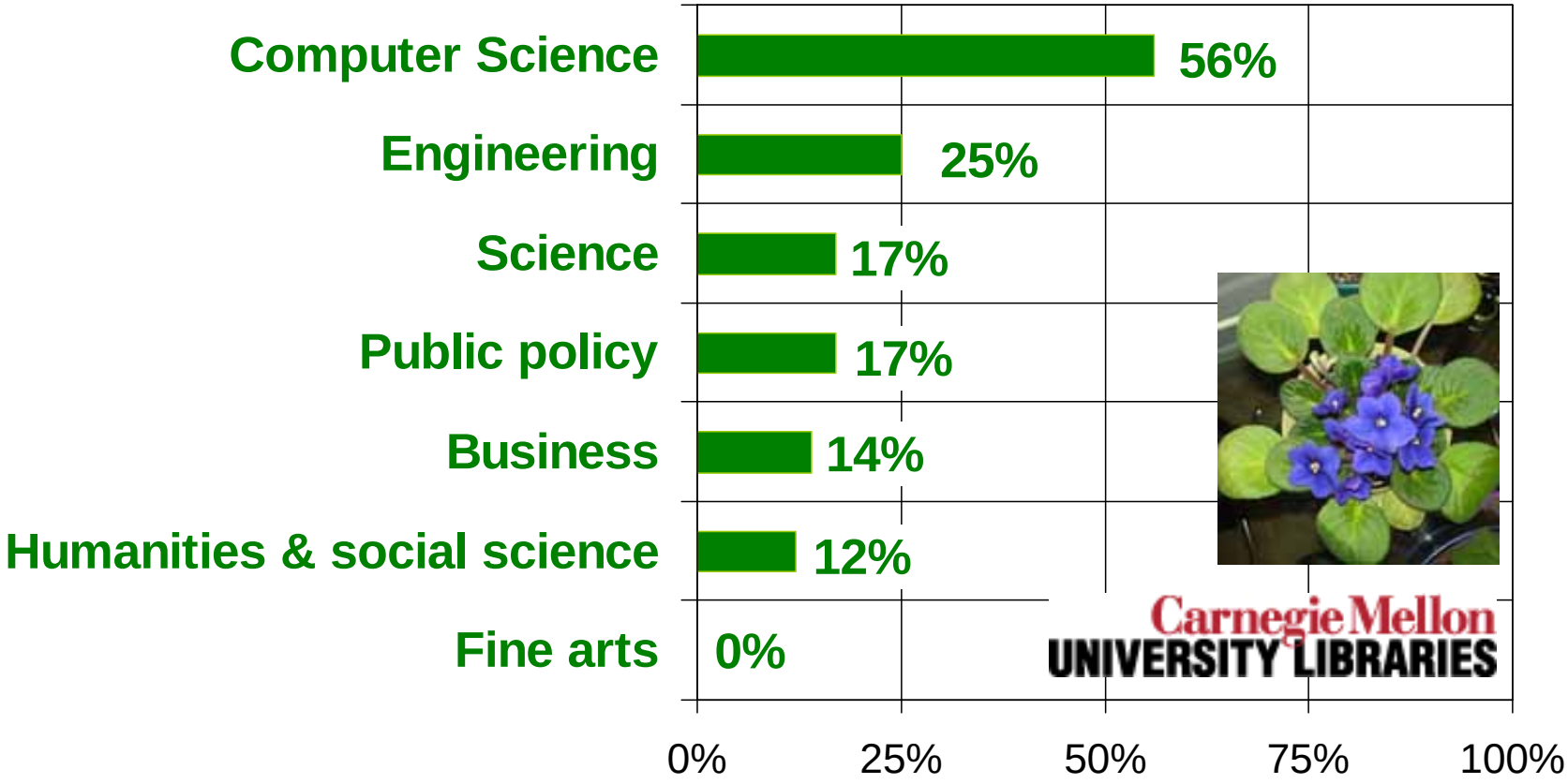
- Understand faculty culture
- Understand cultural change
- Understand faculty
- Clarify goals and objectives
- Develop and implement strategic plan

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

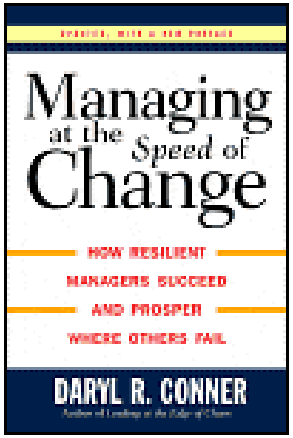
Understand faculty culture

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



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



Daryl R. Conner, *Managing at the Speed of Change* (1992).

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

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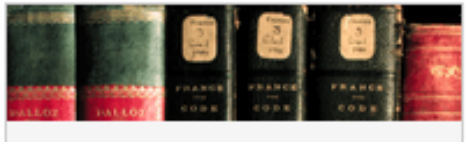
Incentive to abandon status quo

- **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?

THE SECTION 108 STUDY GROUP



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

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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

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Current action items

1. *Easy-to-use tools & support*
4. *Time & confidence*
   - 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)

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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

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Thank you!

Open Access Advocacy

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Authors' Rights & Wrongs www.library.cmu.edu/AuthorsRights.html
Questions? Comments? post+org.library.openaccess@andrew.cmu.edu

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