

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



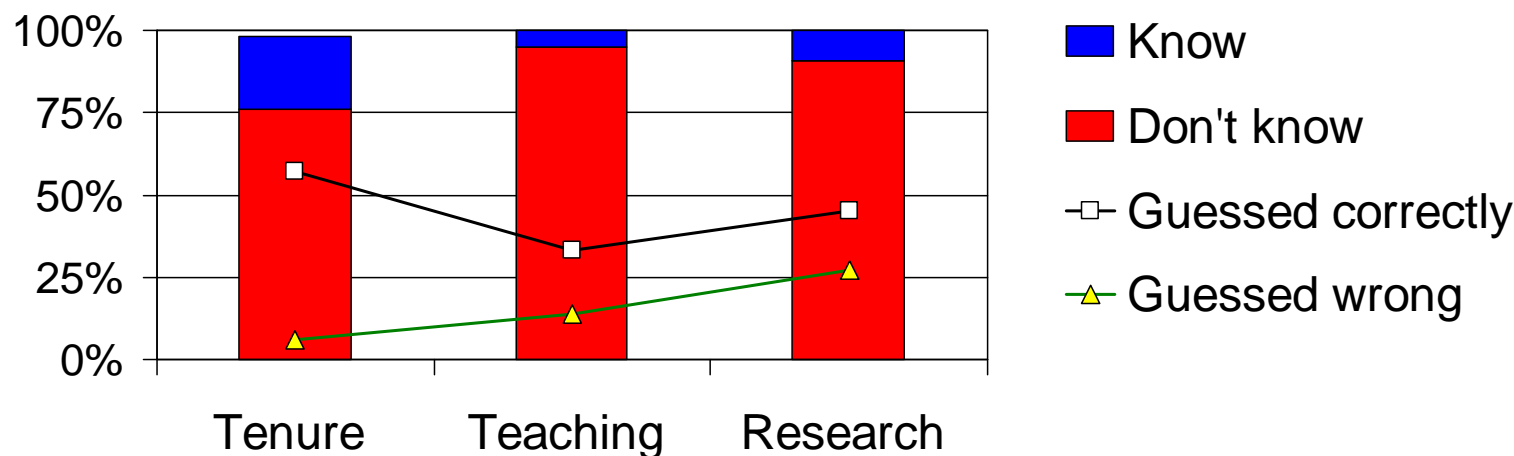
Not utopia – Many faculty ...

- **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 ...

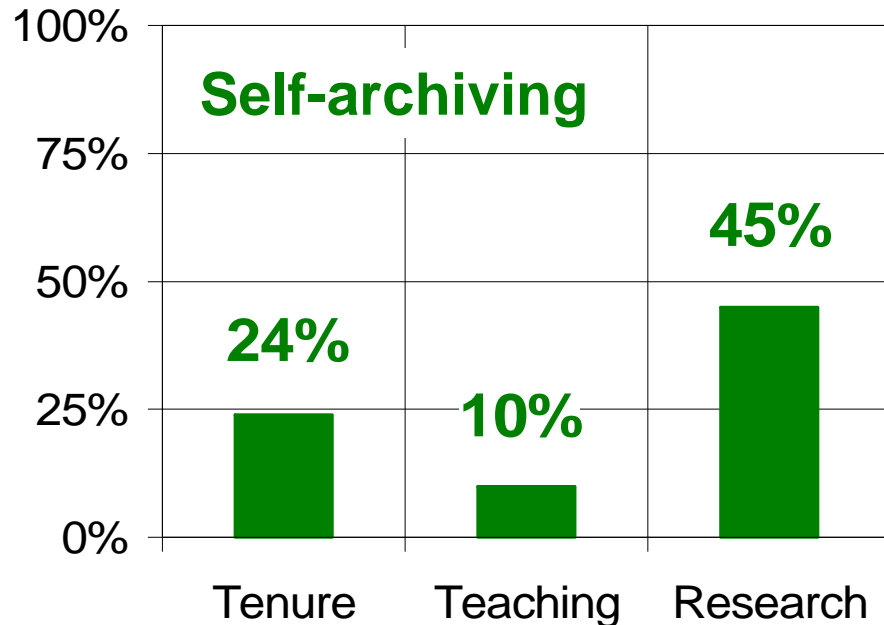
- Value the web as tool for access, not dissemination
- Don't know what *open access* means
 - Don't know about the *impact advantage*
 - Think publishers are best at disseminating their work



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

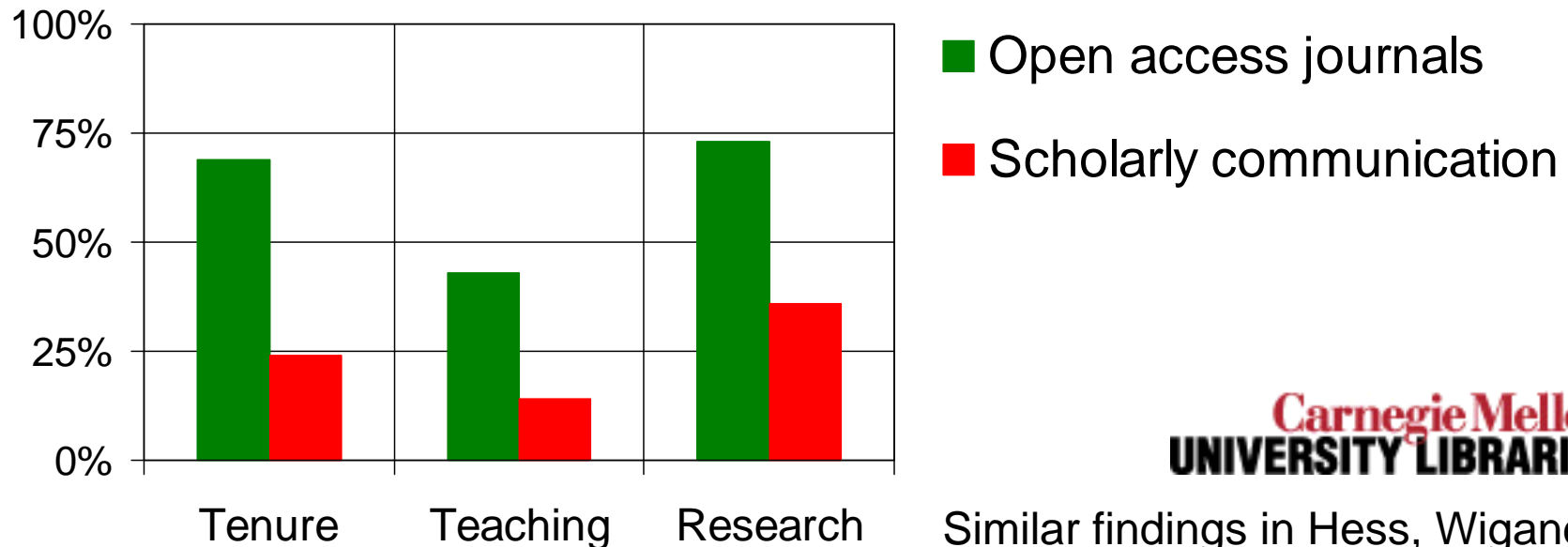


Some faculty think self-archiving threatens their scholarly society.



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



Carnegie Mellon
UNIVERSITY LIBRARIES

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



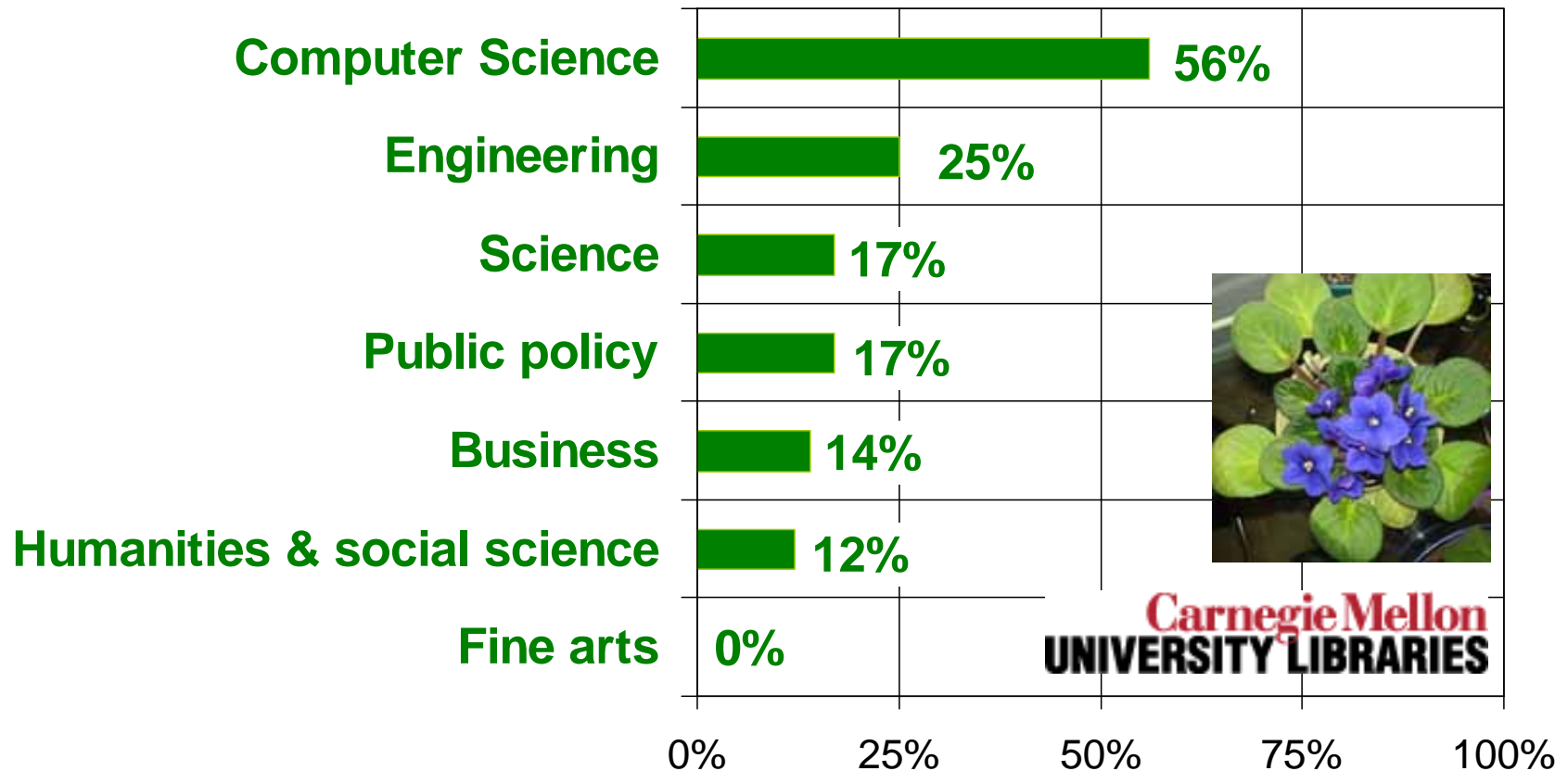
Green = A supporter of a social and political movement that espouses global environmental protection, bioregionalism, social responsibility, and nonviolence.

Green building = Sustainable construction and design



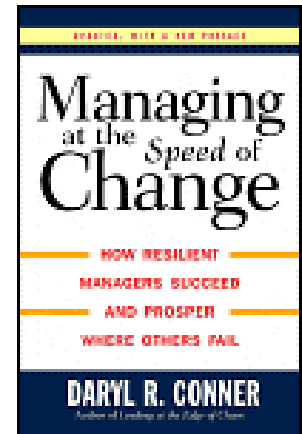
Understand faculty culture

- 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

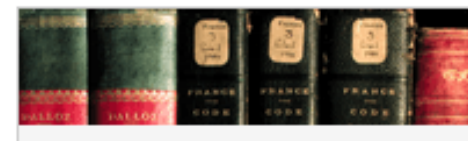
Recommend collective bargaining

Want the university to negotiate for them

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



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

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)

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

Carnegie Mellon.
UNIVERSITY LIBRARIES

Newswatch www.library.cmu.edu/OtherInfo/Open_Access.html

Authors' Rights & Wrongs www.library.cmu.edu/AuthorsRights.html

Questions? Comments? post+org.library.openaccess@andrew.cmu.edu



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