



SPEC Kit 343

Library Support for Faculty/Researcher Publishing

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SURVEY RESULTS

Executive Summary	11
Survey Questions and Responses	19
Responding Institutions	56

REPRESENTATIVE DOCUMENTS

Faculty Publishing Services

University at Buffalo, SUNY	
Transforming Scholarly Communication & Publishing	60
Duke University	
Publish and Archive Your Work	62
University of Guelph	
Publishing Support.....	64
Northwestern University	
Scholarly Communication >> Services	65
Penn State University	
Publishing and Curation Services	66
Purdue University	
Scholarly Communication at Purdue	67
Rutgers University	
Information for Researchers	68
University of Wisconsin	
Publishing Your Research Article.....	69
York University	
York Digital Journals.....	70

Websites Showcasing Faculty Research

Duke University	
Scholars@Duke	72

University of Guelph	
Celebrate Campus Authors	73
Vanderbilt University	
Interviews with Faculty Authors	74
Virginia Tech	
Visible Scholarship Initiative	75

Library Events Promoting Faculty Research

University of Florida	
Authors@UF	78
University of Kansas	
Library Lecture Series	79
Ohio University	
Authors@Alden	81
Oklahoma State University	
Celebrating Books by OSU Authors	82
University of Texas	
Research+Pizza	83
Science Study Break	84

Author's Rights

Brigham Young University	
Retaining Author Rights	86
Cornell University	
Copyright Management	88
Indiana University Bloomington	
Author Rights	92
University of Iowa	
Author's Rights	93
Northwestern University	
Author Rights	95
University of Oregon	
Authors' Rights	98
University of Tennessee	
Author's Rights Retention Kit	99
York University	
Author Rights	102

Support for Repository Deposits

Columbia University	
Academic Commons. Knowledge Base	104

Cornell University	
eCommons Support.....	107
University of Texas at Austin	
Digital Repository FAQs.....	112
University of Wisconsin-Madison	
FAQ—MINDS@UW.....	119

Public Access Policy Compliance

University of California, Irvine	
NIH Public Access Policy.....	126
Duke University	
Medical Center Library & Archives. NIH Public Access Policy.....	127
University of Illinois at Chicago	
NIH Public Access Policy.....	128
Johns Hopkins University	
Welch Medical Library. NIH Public Access Policy.....	129
Washington University in St. Louis	
NIH Compliance Flowchart.....	130

Author Addenda

University of California	
Get a Waiver, Embargo, or Addendum for your Publisher.....	132
University of Iowa	
Addendum to Publication Agreements for University of Iowa Authors.....	133
University of Kansas	
Addendum to Publication Agreement. Publisher’s Version.....	135
Addendum to Publication Agreement. Accepted Manuscript Version.....	136
Massachusetts Institute of Technology	
Amendment to Publication Agreement.....	137
University of Michigan	
University of Michigan Author’s Addendum.....	140

Open Access Policies

University of British Columbia	
UBC Open Access Position Statement.....	144
University of California	
Open Access Policy for the Academic Senate of the University of California.....	145
Florida State University	
Open Access Policy.....	147
Georgia Institute of Technology	
5.5 Policy on Open Access to Faculty Publications.....	149

University of Kansas	
Open Access Policy for University of Kansas Scholarship	150
Massachusetts Institute of Technology	
MIT Faculty Open Access Policy	154

Position Descriptions

University of Manitoba	
Research Services Librarian	156
Massachusetts Institute of Technology	
Program Manager Scholarly Publishing, Copyright, and Licensing	158
North Carolina State University	
Director, Copyright and Digital Scholarship.....	159
Northwestern University	
Head, Digital Collections and Scholarly Communications Services	161

SELECTED RESOURCES

Books, Journal Articles, and Websites	165
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SURVEY RESULTS

EXECUTIVE SUMMARY

Introduction

This survey investigated the level and variety of services ARL libraries are providing to support, facilitate, and participate in the publishing activities of the faculty and researchers they serve. The survey was distributed to ARL member libraries in June 2014. Seventy-one libraries at 70 of the 125 member institutions (56%) responded by the July 7 deadline.

Library involvement with scholarly publishing begins, naturally and historically, with the stages leading up to publication: researching, writing, and determining place of publication. These areas are therefore addressed first in the survey and this summary, with a natural progression to library facilitation of open access publishing, and the most recent phenomenon: library as publisher. However, survey results, as discussed below, indicate that even where libraries are not acting as publishers, they are active participants in the scholarly publishing process. Libraries routinely engage with curating and marketing faculty publications whether they are published by the library or by a traditional publisher, resulting in stronger ties with academics across campus.

Library Services that Support the Research Process

The most traditional library publishing services are in areas that support the research process. Sixty-eight of the responding libraries (96%) provide document delivery services and train faculty on how to conduct a literature search; 65 provide traditional bibliographic search services (92%) and 58 identify articles for literature reviews (82%). These are high, but not unexpected numbers because this type of support for faculty has long been a mainstay in academic libraries. The newest

service with a high uptake is management of scholarly identity through an identification system such as ORCID or VIVO; 40 libraries (56%) provide this service.

Evidence of librarian involvement in research and publishing suggests that librarians write or assist with writing literature reviews rather than simply provide research to support the writing of these reviews; however, survey results indicate that fewer than one-third of the libraries are actually engaged in this service. Respondents' comments indicate that there is a distinction between medical and academic libraries. Medical librarians appear to provide the greatest assistance with writing literature reviews through their clinical work. Further research should investigate if those librarians who are writing literature reviews are also listed on the appropriate grant and/or given author credit on the research articles.

Respondents identified an interesting mix of additional services to support the research process, such as uploading articles to the IR and assisting in data management planning, services that were asked about in the latter part of the survey. Librarians also provide DOI's to researchers, teach researchers and graduate students to search primary source materials within the libraries' various collections, and provide personal content management systems for management of articles and citations.

Library Services that Support the Writing Process

Libraries are not only supporting faculty writing but also participating as co-authors with faculty. While it's unsurprising that 70 of 71 libraries provide citation management software and training, the number of libraries responding that their librarians are serving as primary and secondary authors in *non-library*

literature reveals a new trend. Two-thirds of the responding libraries (46, or 65%) reported that their librarians serve as secondary authors in non-library publishing and 27 (38%) indicated that librarians are serving as primary authors in non-library publishing. The low number of responses to the query regarding more supporting roles confirms the trend: only 17 provide proofreading services (24%) and 15 provide editing services (21%). The comments indicate that libraries more often provide these services through referral.

The top non-library fields in which librarian authors are publishing are history (16 responses), medicine (16), nursing (13), and English (12). Others range from political science (2) to biology (7). This question did not specifically exclude library publishing, but only 7 of the 48 respondents indicated in the “other” category that they were writing for publication in library literature. While it is tempting to infer that librarians are co-authoring with university faculty, further research is needed to determine if this is the case or if librarians are publishing individually in non-library fields.

Library Services that Support Place of Publication Decisions

In all but two of the 68 responding libraries, librarians are consulting with faculty on where and how they should publish. They provide consultation and training on authors’ rights, including copyright management, and they identify open access and commercial journals for possible publication. Newer services are being offered by fewer but still significant numbers of these libraries. Nearly half provide funding for open access article fees, 27 are helping faculty navigate the manuscript submission process (39%), and 14 are actually representing the faculty author in rights negotiations (21%). This representation is new and noteworthy. One in five responding libraries have embraced this new role, meaning that faculty at 1 in 5 universities represented by the respondents to this survey are placing their confidence in the library to provide this crucial service. This has long been an area where librarians have wanted to guide faculty, so while these numbers remain relatively low they represent a significant breakthrough. The comments identifying the “other staff” providing these services

reflect this trend with consistent references to copyright librarians, offices, and advisory services.

When asked to describe how library staff are helping faculty navigate the manuscript submission process, there are again consistent references to copyright transfer, author rights agreement, rights to images, etc. Other assistance provided, as noted by respondents, include interpreting submission guidelines, aiding compliance with funder mandates, and negotiating publication contracts.

Facilitation of Open Access Publishing

The growth of open access (OA) publishing provides libraries with momentum in publishing support. Opportunities have arisen for libraries to advise faculty on locating OA journals for publication, to host OA journals locally, and to advocate usage of institutional repositories for deposit of published works. Conversations with faculty about OA publishing also provide opportunities for librarians to discuss the need for scholarly publishing reform. Unfortunately, the rise of OA publishing and librarian engagement in it has not similarly led to a comparable rise in implementation of OA policies on university campuses. Thirty-three of 70 respondents (47%) reported that their institution has no OA policy and that none is presently under consideration. Of the remaining survey respondents, 17 are considering a policy (24%), and 15 have a policy implemented (21%). An additional five have passed a policy but not implemented it (7%).

Of the 15 implemented OA policies, eight apply to the entire institution, four apply only to library faculty, and the remaining three policies only apply to a select group of the institution’s faculty. While respondents were not asked if the OA policy at their institution was a mandate or merely an endorsement of OA, comments reveal that a large portion of the policies are voluntary in nature with the word “encourage(s)” being most used to describe faculty relationship with the OA policy. Also, at 14 of 23 institutions that have or are considering a policy (61%), the policy does not grant the institution a prior non-exclusive license to the faculty/researcher’s publications.

Over half of the institutions represented by the survey respondents are providing financial support to their faculty and researchers to publish in OA

publications. An impressive 89% of these institutions (31 of 35) provide support for gold OA publishing. At 40% the OA funds provide financial support for publication in hybrid open access journals, and 20% also support publication in open access monographs. Several libraries also support OA indirectly through institutional subscriptions with OA publishers such as BioMed Central (34 of 43, or 79%). Public Library of Science (PLOS) was also heavily subscribed at 42%, although their funding program has now changed.

Because most copyright agreements with publishers require a complete transfer of copyright ownership from the author to the publisher, SPARC and others advocate that authors seek to modify the agreement in order to only grant publishers a license to be the first publication of record and to retain for the authors the rights to reuse their work. The common method of modifying copyright transfer agreements is through an author's addendum. Advocacy for use of author addenda is high among survey respondents with 53 libraries advocating for their use (78%); 40 of these libraries (77%) use the SPARC addendum. Fifteen (29%) have drafted an addendum specific to their institution. Other addenda used include Science Commons, Creative Commons, the CIC addendum, and the Scholars Copyright Addendum Engine.

Advocacy of OA and actual implementation of OA support are mixed. Advocacy remains high, but implementation is more sporadic and heavily dependent on institutional provision of author publishing fees. The good news is that librarians have engaged with faculty about OA regarding place of publication and assignment of copyright. Time and further research will be needed to judge the long-term effectiveness of OA publishing without mandates, but scholarly communications librarians, copyright librarians, and liaison librarians are all important change agents in this area of academic publishing.

Library Support for Repository Deposit

Institutional repositories (IR) have continued to grow in popularity in academic libraries. In a survey of ARL libraries for a 2006 SPEC Kit, just 37 of 87 respondents (43%) had an operational IR at that time. In 2014, 61 of 69 responding institutions (88%) operate an IR. With 58 respondents (95%) stating that the library assists

faculty and researchers with the deposit of their scholarly works in the IR, it is clear that libraries have integrated this new role into their core work. This support is provided by IR librarians and staff (51, or 88%), liaison librarians and subject specialists (30, or 52%), and scholarly communications (26, or 45%) and data management (15, or 26%) librarians.

The difficulty comes with the next step: encouraging faculty participation in the IR. This survey question resulted in a tellingly, if not alarmingly, low percentage of participation whether one considers the mean or the median. The mean (average) participation rate of faculty and researchers in the deposit of their materials stands at 11%. The median (middle of all answers) participation rate stands at 5%. Statistically the median is most accurate here since the removal of outliers would result in a mean between 6% and 7%. While many IR's are set up to be self-submittal, the reality is that faculty have not adopted this tool—or the IR itself—as librarians have hoped. While mandates for open access and data management may naturally begin to bridge this gap, further research is needed to in this area.

Eighty-three percent of the responding libraries support faculty and researcher compliance with public access mandates. This is a fast uptake for a new service and could indicate an area where libraries should direct energy and resources. Work with faculty on mandates for open access and data management could naturally lead to more open access publishing and better use of the IR. Comments on how support was offered concentrated on consultation along with workshops and training. The NIH mandate was also consistently mentioned, likely because it has been in effect for several years and is the first public access mandate with which most libraries have been involved.

Library Marketing of Faculty/Researcher Publications

Nearly two-thirds of the responding libraries (43, or 63%) reported that they do not track faculty and research publications. The 26 libraries that do track publications use 22 different systems for this purpose. Other than an internal system, VIVO is the most popular system (6 responses, or 23%). Other systems used

include ORCID, Scopus, and Google Scholar. This is obviously an area that has not yet stabilized. Adoption of this service by libraries is still low, and no one system has emerged as the best. Is this an opportunity lost? Could libraries key into these systems and use publication data to drive services and outreach?

A marginally higher number of libraries (30, or 44%) host public presentations by faculty and researchers for discussion of their publications. An additional seven (10%) are planning to offer this service; therefore, when those programs are implemented, just over half of the responding libraries will have programs in place to highlight faculty research. A very small number of libraries (18, or 26%) have taken the next step to create an online environment for promotion of faculty and researcher publications. Again, more are planning to do so (9, or 13%), but a firm 61% do not use their website to help promote faculty research. As with tracking faculty research and publication, this seems like a lost opportunity. A properly implemented and utilized IR would give libraries access to this data, which could then be used to inform further research.

Other Support for Faculty/Researcher Publishing

Over two-thirds of the responding libraries (45, or 68%) report that other departments or offices at their institutions provide support for faculty and researcher publishing. In the comments sections, they identified 15 different areas for this support. Unsurprisingly, the most often listed source of support was the Research Office or Division of Sponsored Research (45% of yes respondents). However, the list from there branched into all parts of the university: faculty departments and colleges, provost offices, graduate schools, centers for teaching, university presses, writing centers, humanities centers, tech transfer offices, and more.

When then asked if they regularly collaborate with these other departments to support faculty publishing only half answered yes, although another seven (12%) are planning to do so. This collaboration for support of publishing includes funding, general consultations and referrals, copyright consultation, research forums and training, provision of communication avenues, and working directly with the research office. Work with the research office includes joint events, research

data services, publication management, and training of research staff on scholarly communications issues. It is also clear from the comments that many of these libraries are not stopping with support, but are providing direct publishing avenues through OA journals, institutional repositories, traditional publishing through university presses that sit in the library, hosting of digital content, and providing print on demand. The complete list of campus offices that support faculty publishing included 15 different entities. As libraries increase their direct support for faculty publishing, it may be prudent to also increase collaboration with these campus entities as libraries seek to broaden their role in this area.

Current and Future Roles for Research Libraries in Faculty Publishing

Respondents identified twelve areas within three categories for research libraries to consider as their role in faculty publishing continues to evolve: scholarly communications, support at all stages of the publishing workflow, and library as publisher. (See the sidebar for a full delineation of the twelve areas identified within these three categories of library roles.) There was also an indication from some respondents that libraries may want to pull back from further engagement in faculty publishing. Some reported that they have experienced faculty pushback against librarian attempts to be integrated into faculty publishing, and others indicated that they do not have the resources to commit to these new areas or they may choose to allocate resources in areas deemed to be higher priority.

Libraries have emerged as the hub for scholarly communications discourse on campuses, and many respondents recognize that libraries are “key partners” in the scholarly communication process. In the future, libraries should continue to guide researchers through the issues surrounding scholarly publication reform and discuss with faculty how, working together, librarians, publishers, and authors can devise ways to create a more sustainable publishing system. One of the ways that has been noted is open access publishing and libraries are active participants in open access advocacy and support. However, in the future, respondents suggest that libraries should promote alternate models for open access publishing,

educate faculty on recognizing predatory publishers, support creation of open educational resources, and assist faculty with the development of open access textbooks. Public access mandates beyond the NIH mandate are also likely in the near future; therefore, libraries should, commenters stated, lead initiatives at their institutions to educate faculty on how to comply with these mandates and provide resources for the hosting of publications and data subject to public access or other funder mandates.

This survey polled ARL libraries on current publishing workflow support, but respondents added in the comments ways in which libraries can, in the future, provide better and more visible support. Libraries should seek out opportunities to serve in cooperative roles with faculty in the research and publishing process, including serving as co-PIs on grants and co-editors on books and other works. Other comments suggest that the concept of embedded librarianship should extend beyond faculty teaching to faculty research. One respondent noted that libraries should find “the natural places where libraries interface with the research workflow” and develop “new place where libraries can add value to the research workflow.” The areas of data management and copyright management were also identified as important areas for future library support. Finally, library management of researcher identities or profiles was identified as an important area of future support of faculty publishing.

Although the purpose of this survey was to capture data on the many ways that libraries support faculty publishing before publication, the library as publisher was noted by several respondents as an important future role for academic libraries. Although lack of funding to support the role of publisher was recognized, providing journal publishing infrastructure and hosting of alternative publishing venues were noted as services libraries should consider providing in the future. Greater collaboration with academic or university presses was also highlighted as a means of providing these services in the future.

In Conclusion

A quick review of the “what else would you like to tell us” comments provides an excellent summation of the survey results. It is clear that libraries are increasingly supporting faculty publication through a combination of new library services, intra-institutional collaboration, and as publishers of academic content. Responsibility for supporting academic publishing is distributed through the institutions and through the libraries, and with some strategic offering of services libraries may play a role in bringing these scattered threads together into a more cohesive and useful whole. The key campus partner in this endeavour will be the Research Office. In many cases these offices are struggling to meet the needs of faculty and researchers and would welcome collaboration with the library.

It is also clear that provision of additional services is not an option with current resources. Several libraries have plans for future services, but cannot stretch their liaison services any further. Libraries also lack funds to hire data managers, copyright specialists, and scholarly communications librarians to provide these crucial services. Collaboration with other support services on campus will be critical for those who want to dip their toe into the waters, but can't afford to dive.

Library publishers include traditional university presses that are managed by the library along with library digital imprints and open access monographs. Libraries continue to promote open access publishing; while progress is being made, the absence of institutional mandates to participate in or support open access results in relatively slow uptake. Through institutional repositories libraries make academic content available to the public, including content published in alternative formats, digital presentations and research data. The need for publication of alternative formats is an emerging trend, and libraries are well positioned to fill this need.

Roles for Research Libraries in Faculty Publishing

Scholarly Communications

Communication and Education

- Educate scholars on sustainability of current scholarly publishing system and need for reform
- Libraries are key partners—instrumental in guiding researchers through changing scholarly publishing climate and are best suited to capturing new and traditional forms of scholarly output and managing access to it
- Vital resource for information about scholarly publishing

Open Access

- Promote affordable OA publishing options
- Identify predatory OA publishers
- Provide funding for OA publishing
- Support creation of OER
- Promote open access publishing through the institutional repository
- Assist with creation of OA textbooks

Public Access

- Assist with funder requirements for publication of research
- Lead initiatives that manage, describe and preserve information in furtherance of public access mandates
- Assist with grant compliance with hosting of publication and data

Repository Development/Support

- Distribute research output globally
- Support multiple formats—video, data, images

Support at All Stages of the Publishing Workflow

Research Workflow Integration

- “Finding the ‘natural’ places where libraries interface with the research workflow, developing new places where libraries can add value to the research workflow, and more aggressively capturing the outputs of the research workflow”—moving from a “collection-centric” to an “engagement-centric” role
- Co-PIs on grants
- Co-editors on books
- Embedded in research enterprise, provide embedded expertise in information management, data curation, scholarly edition, and publishing
- Collection development to support research and publishing
- Be embedded in research process
- Locate “gaps” in world of research that need attention—share these gaps with faculty

Data Management

- Assist/facilitate with data management
- Dataset publishing
- Disciplinary expertise of librarians make us logical partner for campus-wide initiatives in data management

Copyright/Licensing

- Advise about use of Creative Commons
- Copyright education
- Authors rights consultation
- Develop strategies for managing copyright and licenses to scholarly works
- Robust rights management consultation to faculty researchers and new scholars

Researcher Identity/Profile

- Manage ORCID IDs

Writing Support

- Copyediting/proofreading

Showcasing Faculty Research

- Hosting conferences, lectures and exhibitions with faculty
- Work with provost or offices of research to promote scholarship of faculty

Library as Publisher

Library-based Publication of Faculty Research

- Support faculty journal and conference proceedings publishing
- Provide infrastructure for journal publication
- Host alternative publishing venues
- Funding needed to develop more library based publishing

Development of Publishing Support Tools

- Collaborate with academic presses
- Create hybrid system that can support publications through university press and library
- Work as technologists connecting researchers with new tools and hardware to support their research goals

