



## **SURVEY RESULTS**



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## EXECUTIVE SUMMARY

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### Background

Faced with ever-increasing journal subscription costs and declining library collections budgets, libraries are expanding their collections by making open access (OA) research literature available through their catalogs, Web sites, open URL resolvers, and other resources. While not free to produce, as defined by the Budapest Open Access Initiative (BOAI) this literature is made freely accessible to users by removing price and permission barriers.

The purpose of this survey was to gather information on whether and how ARL member libraries are selecting, providing access to, cataloging, hosting, tracking usage of, and promoting the use of open access research literature for their patrons by using established library resources such as the OPAC and link resolvers. It was hoped the survey results would provide valuable information for those libraries interested in incorporating OA content into their collections.

The survey was sent to the 123 ARL member libraries in March 2007. Seventy-one responses were received by the deadline, a return rate of 58%. All but one of the survey respondents provide access to OA resources. These 70 libraries represent 57% of the ARL membership. The results indicate that although many of the ARL member libraries have embraced a wide range of OA literature and have fully integrated it into their selection, acquisition, cataloging, and promotion processes, others have been less active in this area.

### Linking and Hosting

The survey asked to which kinds of open access resources the library provides links for users. Sixty-nine respondents (97%) provide links to journals, the category most commonly associated with the open access movement. Sixty-two (87%) provide links to government documents, literature that is typically available without charge. A majority provides access to monographs or theses / dissertations (80%), followed by conference papers / proceedings or technical reports (62%). A little more than a third provide access to legal documents. While the BOAI definition of open access literature primarily encompasses journal articles, respondents to this survey apparently use a broader definition. Forty-one percent link to OA resources that include digitized photos, maps, and other images, video and audio files, statistical and geospatial data, and other resources that are not scholarly writing. This is not unexpected, as these all belong to the broader class of freely available electronic resources. Fifty-two of the responding libraries (74%) host OA resources on their own servers.

Libraries are using multiple channels to provide links to OA resources. Survey respondents commonly provide access to locally hosted OA resources of all types through OPAC records (82%), Web pages (70%), and institutional repositories (56%). For journal articles, they also use open URL resolvers, a third-party title list or portal such as Serials Solutions or EBSCO, and electronic resource

management systems. For externally hosted titles, they most often use OPAC records (94%), open URL resolvers (79%), Web pages, (73%), or a third-party title list or portal (67%). As one respondent explained, they use “all the same channels as non-OA resources.”

The survey asked for an approximate number of OA titles linked to. Many respondents noted the difficulty or impossibility of providing counts of titles by specific categories. However, from those who attempted an estimate, the three types of locally hosted resources with the highest median title counts were government documents (15,050 titles), theses and dissertations (493), and technical reports (170). The externally hosted resources with the highest median title counts were government documents (37,155), theses and dissertations (3,500), journals (3,102), and legal documents (2,000).

### **Selection and Financial Support**

Most of the responding libraries (84%) do not have collection development policies that specifically address criteria for selecting externally hosted OA resources, though several libraries report that collection development policies are undergoing revision and there are plans or desires to address OA resources in their policies. Typically, the selection criteria (79%) and the selectors (91%) for externally hosted OA resources are the same as for other electronic resources. Some libraries provide access to all titles in the Directory of Open Access Journals (DOAJ) rather than making title-level decisions.

Because they are usually not supported by subscription fees, many open access journals get their funding through fees paid by authors or their institutions. These author fees are often paid by libraries at the author’s institution. The majority of responding libraries (68%) provide financial support for externally hosted OA journals, either directly or through a consortium. Many contribute to BioMed Central, Public Library of Science (PLOS), and the Stanford Encyclopedia of Philosophy, among others. Only a few (36%) provide financial support

for internally hosted OA journals. Although some don’t provide direct financial support for these resources, they do provide staff time and support for processing.

### **Cataloging**

For externally hosted OA resources, the most popular methods of obtaining catalog records are downloading records from OCLC (86%), creating original, full records in the library (69%), and acquiring records from another third party such as Serials Solutions (56%). About a third also create original, brief records or acquire them from other libraries such as consortial partners. Catalog records for locally hosted OA resources are most commonly obtained by creating original, full records (87%), creating original, brief records (56%), and downloading records from OCLC (42%). Other methods of obtaining descriptive data for both locally and externally hosted OA resources include the automated harvesting of XML metadata, records created by the authors, brief records created by an electronic resource management system, and records provided by the publishers. In all but three of the responding libraries (95%), the staff who create catalog records for OA resources are the same staff who create records for other electronic resources.

Although two libraries report spending 100 to 120 hours per month cataloging OA resources, most spend fewer than 20 hours per month. Others don’t track the time. Several respondents pointed out that cataloging of OA material was a very minor portion of cataloging work, perhaps less than 1% of total time spent on cataloging. Others emphasized that they did not treat the cataloging of OA resources differently than non-OA resources—catalogers simply integrate work with these material into their usual workload. In many libraries, both professional catalogers and support staff create catalog records. Most of the libraries (89%) that create original records for OA resources contribute them to OCLC. Of the libraries that include links to OA resources in the OPAC, 40% identify these

records by some kind of field or tag. These fields include source of acquisition (039), electronic location and access (856), notes, and added entries for title (730, 793), series (including locally created series statements) and author (usually corporate), as well as indications in holdings records. Host item entry (773) was used by at least one library to identify open access resources.

### **Link Maintenance and Usage Tracking**

As with other electronic resources, records for OA resources require ongoing maintenance. URLs in catalog records, Web sites, and other tools quietly become outdated every day. Almost all of the libraries (90%) respond to reports from users of problems with links and many (64%) rely on a data provider (such as Serials Solutions) for link checking. Some libraries (33%) use third-party software or scripts for link checking, while others (21%) use locally developed solutions. A few use manual checking, ILS link checking software or some other method. Routine link checking is not always the practice; 19 respondents (28%) report that they don't systematically monitor or maintain links locally.

Respondents use link checking software from integrated library system vendors such as Innovative Interfaces and Endeavor (5 libraries), OCLC PURL link checker software (3), Xenu (3), LinkBot (2), JTurl (1), and LinkScan (1).

Many respondents noted that the URLs of OA resources are less stable than those of subscription resources and that OA resources sometimes change from free to paid or simply disappear. OA resources can take longer than subscription resources to resolve access problems and may be down more frequently than purchased resources. However, non-OA resources also require their share of link maintenance.

Libraries can spend a great deal of time tracking the use of resources that they purchase. Many are also interested in the return on the investment they make to select, process, and promote OA resources. Slightly fewer than half of the respondents (46%)

track the usage of internally hosted OA resources; a little more than half (55%) track usage of externally hosted OA resources. For locally hosted resources, usage data is provided by repository software and server logs. For other OA resources, usage data is acquired from open URL resolvers such as SFX from Serials Solutions, and from other sources.

### **Promotion**

While 75% of the survey respondents report that they don't promote OA resources differently than other resources, they still actively alert library users to the availability of OA resources and help staff and users understand what they are. In addition to simply listing OA resources in library catalogs, many include OA resources in pathfinders or subject guides (79%). Others discuss OA resources during instruction sessions (54%) or in newsletter articles (48%), promote them using library Web pages (46%), discuss them during the reference interview (45%), and send e-mail alerts about newly available OA resources (36%). Other methods include campus forums and contacting faculty by means of flyers, meetings, etc. One respondent commented that they must promote OA resources more than traditional resources because they are relatively new. On the other hand, several respondents said they promote paid resources more than OA resources; OA resources have a lower priority in general and libraries have a hard enough time getting patrons to use paid resources.

### **Conclusion**

Almost all of the ARL member libraries that responded to this survey provide access to open access literature, linking to externally hosted content and hosting OA content on their servers. Many of their institutions have made formal statements in support of open access efforts and the majority of these libraries provide financial support for external OA resources by paying author fees, etc. Some provide financial support for locally hosted content that is in addition to hosting and staff time.

From selection to promotion, the libraries' processes for OA resources are largely the same as for other library materials. Often, collection development policies do not address OA literature specifically, though a few respondents plan to update their policies to do so. In most libraries the selectors and the selection criteria are the same as for other materials, especially other electronic resources.

Cataloging methods and staff are also largely the same for OA resources as for other electronic resources. Most of the responding libraries download OCLC records, create original, full catalog records, or acquire records from Serials Solutions or other third parties. Some, however, harvest XML metadata to create catalog records, or use records created by publishers, authors, or local electronic management systems. Typically, they use a MARC field to identify these resources as open access. For link checking, many libraries rely on a data provider such as Serials Solutions, but some use third-party or locally developed software.

In addition to providing links to a variety of externally hosted OA resources, the responding libraries also host a wide range of OA resources on their own servers. These resources include digital collections and archives, pre-publication material, lectures, primary source material, finding aids, theses and dissertations, grey literature, Web sites, and databases, as well as journals. As with print collections, the libraries provide storage, access, and maintenance for these local digital collections.

The most common place to list OA resources is the library's primary finding aid, the OPAC. They also can be found along with other electronic resources on Web pages, in open URL resolvers, and

in other third-party title lists or portals. Of course, locally hosted resources are often found directly by searching institutional repositories.

While most libraries promote OA resources in the same ways as other resources, many of the responding libraries are actively educating faculty and students about open access and other issues in scholarly communication and make a point of introducing this relatively new type of resource through Web sites, newsletters, campus forums, flyers, and blogs. Efforts are made to provide introductory material on open access as well as portals for further research participation or utilization of open access materials. Some institutions also include detailed information on their Web sites about journals' author fees and any institutional support or discounts available for authors who publish in open access journals.

While OA titles are fully integrated into many libraries' procedures for selection, processing, and promotion, and typically are treated no differently than any other material, in a few libraries, time constraints prevent them from assigning a significant priority to OA resources; instead they focus on their purchased resources.

Regardless of whether they choose to distinguish between open access and traditional, subscription-supported resources when selecting, processing, and promoting materials, ARL member libraries have embraced open access resources and integrated them into their existing workflows. Providing access to these resources lends support to the open access movement and serves students, faculty, and staff by connecting them to an important body of high quality scholarly output.

## SURVEY QUESTIONS AND RESPONSES

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The SPEC survey on Open Access Resources was designed by **Anna K. Hood**, Head, Serials and Electronic Resources, Kent State University. These results are based on data submitted by 71 of the 123 ARL member libraries (58%) by the deadline of March 12, 2007. The survey's introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

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As defined by the Budapest Open Access Initiative, open access research literature has "free availability on the public Internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the Internet itself."

As the BOAI public statement puts it, "[p]rimarily, this category encompasses...peer-reviewed journal articles, but it also includes any unreviewed preprints that [scholars] might wish to put online for comment or to alert colleagues to important research findings." It does not include books from which their authors would prefer to generate revenue. It does not include any non-scholarly writings, such as novels or news.

While the BOAI does not specifically cover donated scholarship other than peer-reviewed journal articles and preprints, it could be extended quite naturally to all the writings for which authors do not expect payment. These include scholarly monographs on specialized topics, conference proceedings, theses and dissertations, government reports, and statutes and judicial opinions.

Much of the literature on open access content deals with aspects of publication (i.e., business models, sustainability, and distribution), author-participation, and peer review of content. However, the literature is relatively silent on addressing the practical challenges libraries face in providing access to open access content.

The purpose of this survey is to gather information on whether and how ARL member libraries are selecting, providing access to, cataloging, hosting, tracking usage of, and/or promoting discovery of open access literature for their users by using established library resources such as the OPAC and link resolvers to serve as gateways/facilitators to open access resources. This survey will provide valuable information for those libraries eager to incorporate OA content into their established workflow.

## BACKGROUND

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1. Please indicate to which kinds of open access (OA) resources your library provides links for library users. Check all that apply. N=71

Journals	69	97%
Government documents	62	87%
Monographs	57	80%
Theses and dissertations	57	80%
Technical reports	44	62%
Conference papers/proceedings	44	62%
Legal documents	24	34%
Other resource, please specify	29	41%
Library does not provide links to OA resources	1	1%

### Other resources include:

Audio, graphic, text, and numeric databases

Databases, Web sites

Digital Archives

Digital exhibits, datasets, oral history transcripts, videos, images

Digitized collections from our and other libraries and archives

Free databases, such as MedlinePlus, Movie database, AllMusic, Notable KY African Americans, etc.

Historical photographs, Heritage Collection



Image repositories

Images, image collections, indexing services, finding aids, manuscripts, statistical data, geospatial data

Indexes, Databases

Learning objects, archival materials

Lectures

Local scholarly output

Locally published digital resources

Major digital collections or resources, such as Valley of the Shadow and Stanford Encyclopaedia of Philosophy

Monographs: NGO reports, National Academy Press. Others: databases (e.g. Middle English compendium, cartographic materials)

Our locally digitized materials are all open access.

Preprints, A&I databases, search engines/portals

Pre-publications, research reports

Speeches

Video, field notes, audio files, maps

Web casts

Working papers, syllabi, scores, manuscripts, photographs

## 2. Does your library host any OA resources on its own servers? N=70

<b>Yes</b>	52	74%
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<b>No</b>	18	26%
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3. Through what channel(s) does your library provide links to OA resources? Check all that apply.  
N=70

**Locally Hosted Resources** N=57

		Theses/Dissertations	Journals	Monographs	Technical reports	Government documents	Conference Papers	Legal documents	Other resource
	N	40	39	29	25	25	23	10	34
OPAC records	47	30	29	25	11	18	8	5	15
Library Web page	40	16	23	17	9	14	10	7	18
Institutional repository	32	24	17	15	19	6	13	2	17
Open URL resolver	18	1	15	2	2	3	2	2	1
A third-party title list or portal (e.g., Serials Solutions, EBSCO)	14	1	11	1	3	3	4	2	—
Electronic Resource Management (ERM) system	11	1	10	4	2	4	2	1	3
Other channel	10	5	2	4	2	3	1	1	6

**Please specify other resource(s) in:**

**OPAC**

American Memory, Global Gateway, Thomas, Country Studies, etc.

Databases, Web sites

Digital archives

Digital collections

Digitized historical collections

Free databases

Image collections, statistical databases, geospatial data

Image repositories

Images

Learning objects, archival materials

Local projects

Pamphlets

Sponsored research reports

## **ERM**

Databases

Free Databases

## **Web Page**

College catalogs

Database locator

Databases, Web sites

Digital archives

Digital collections

Digital exhibits

Digital photo collection

Free databases

Image collections, statistical databases, geospatial data

Images

Local Projects

## **Institutional Repository**

College catalogs

Data sets, oral history transcripts, videos, images

Department documents/working papers, etc

Digital Commons @ Mac

Images, finding aids, manuscripts

Journal articles; book chapters, pre-publications

Learning objects

Lectures

Primary source materials

Sponsored research reports, radio broadcasts, promotional material, grey literature, campus publications

University archives

Web casts

**Please specify the other channel for:**

**Journals**

OJS

**Monographs**

ContentDM

DLG database

Schoenberg Center for Electronic Text and Image

**Theses**

ContentDM

Dissertation Abstracts Fulltext

LOCKSS

NDLTD

Theses Canada Portal

WorldCat

## **Government Documents**

DLG database

LOCKSS

## **Digital photo collection; images**

ContentDM

## **Selected Comments from Respondents**

"All the same channels as non-OA resources."

"Although not hosted by the Libraries, we have catalogued some e-journals that are locally hosted. The archival collections are locally digitized collections that are catalogued at the collection level only."

"At present, we locally host only several open access journals."

"Currently, the LOCKSS server is being used for the electronic dissertations and theses, but these will be moved over to DSpace this summer (institutional repository)."

"ERM from III is being developed."

"Library Web page: We don't provide direct links from the 'home' page as such, but individual subject specialists do link from their own pages as appropriate."

"Our institutional repository accepts any type or format of publication."

"The ERM is our own in-house product."

"We harvest OAI archive records into our OPAC from a number of sites."

"We have OPAC records for serial titles included in our OA AgEcon subject repository. They are also in SFX and appear on the public SFX generated A-Z list of e-resources. Institutional repository includes selective institutional records and documents."

**Externally Hosted Resources** N=70

		Journals	Government documents	Monographs	Theses/Dissertations	Conference Papers	Technical reports	Legal documents	Other resource
	N	69	61	52	42	39	37	22	22
OPAC records	66	62	60	49	29	33	30	17	12
Open URL resolver	55	54	17	22	6	15	11	5	1
Library Web page	51	42	31	28	19	18	20	17	16
A third-party title list or portal (e.g., Serials Solutions, EBSCO)	47	45	12	9	9	8	2	2	2
Electronic Resource Management (ERM) system	21	19	5	7	2	3	3	2	5
Institutional repository	16	11	2	4	8	7	9	—	6
Other channel	5	1	1	1	5	1	1	1	—

**Please specify other resource(s) in:**

**OPAC**

Audio, graphic, and numeric databases

Collections/databases

Databases, Web sites

Digital archives

Free databases

Image collections, statistical databases, geospatial data, manuscripts, indexing services

Indexes & databases

Local scholarly output

MEDLINE; ADS

### **Third-party Title List**

SFX

### **ERM**

Databases

Free databases

MEDLINE; ADS; DOAJ

### **Open URL Resolver**

SFX

### **Library Web Page**

Audio, graphic, and numeric databases

Collections/databases

Databases, Web sites

Digital archives

Digital collections

Free databases

Image collections, statistical databases, geospatial data, manuscripts, indexing services

Image repositories

Indexes & databases

Open access collections such as Valley of Shadow and Stanford Encyclopaedia of Philosophy

Reference guides on other library Web pages

Subject Web pages provide links to a variety of free/open access scholarly resources on the Web

### **Institutional Repository**

Book chapters; speeches

e-Scholarship repository

Local scholarly output

Web casts

Working papers

## Selected Comments from Respondents

"Access links interpreted as both individual item links and portal (ex. Arxiv.org)."

"All the same channels as non-OA resources. This is a very difficult question to answer as we generally do not distinguish OA from other resources."

"Legal documents are in the process of being listed on the Law Library Web pages."

"Open access resources (journals and monographs) are profiled in our ERM but not made public through this system."

"Other resource: databases such as MEDLINE/PubMed."

"Our institutional repository is hosted by a remote vendor."

"Our IR is externally hosted."

"We have a separate e-journals section on our Web page that makes DOAJ and other open access journals available through SFX. If a librarian requests that a Web site be cataloged, an OPAC record is created. Commercial databases often contain open access content; we pay for the power of the search engine."

"We've checked many item types for Library Web Page because our link resolver interface ("FindIt") constitutes a Web page that pulls in results including all sorts of document types from our locally and externally held collections, as well as the open Web."

### 4. What is the approximate number of OA titles to which the library provides links? N=57

#### Locally Hosted Titles N=36

	N	Minimum	Maximum	Mean	Median	Std Dev
Journals	22	1	2,567	170.4	4.5	575.5
Theses and dissertations	22	13	14,000	2,670.0	493.0	4,003.8
Monographs	14	1	5,000	469.9	45.0	1,316.5
Technical reports	8	4	7,761	1,627.8	170.0	2,854.8
Conference papers	4	2	400	165.3	129.5	197.3
Government documents	4	1	725,000	188,775.3	15,050.0	357,761.9
Legal documents	3	1	150	50.7	1.0	86.0
Other resource	18	1	5,000,000	296,762.2	411.0	1,175,093.0

#### Please specify other resource.

American Memory

Campus publications



Conference abstracts, images  
 Department documents, working papers, etc  
 Digital photo collection  
 EAD; images; texts; e-texts; statistical & geospatial  
 Image repositories  
 Images  
 Internet sites, archives  
 Learning objects, archival materials  
 Loose articles  
 Pamphlets  
 Photos, meeting documents  
 Primary source documents  
 Speeches

**Externally Hosted Titles N=50**

	<b>N</b>	<b>Minimum</b>	<b>Maximum</b>	<b>Mean</b>	<b>Median</b>	<b>Std Dev</b>
Journals	46	12	33,284	4,945.5	3,102.5	6,214.7
Monographs	24	3	612,300	29,245.1	929.0	124,376.9
Government documents	22	800	215,000	40,900.4	37,155.0	44,613.1
Theses and dissertations	12	1	17,500	5,282.8	3,500.0	5,753.7
Technical reports	8	10	25,000	5,688.1	77.5	10,462.5
Conference papers	7	20	5,000	1,124.1	83.0	1,934.5
Legal documents	3	71	20,000	7,357.0	2,000.0	10,991.6
Other resource	12	2	1,000,000	84,482.8	42.5	288,324.5

**Please specify other resource.**

Collections  
 Databases  
 Image repositories  
 Indexes & databases  
 Internet sites, archives

Maps

Speeches

Working papers

## **Selected Comments from Respondents**

"Although we provide access to government documents, we cannot generate a number for this category of open-access titles. Estimate: c. 40,000."

"Approximate OA journal count is 5733, there is no way for us to distinguish OA from free in our dataset."

"Cannot determine number of external government docs. or ETDs."

"Did not include free books in NetLibrary. If we had not purchased NetLibrary books, our users would not have had access. The digitized archival collections consist of Winnipeg Blg. Index (4,200 items), Arctic Blue Books (4,900), Tribune Photos (7,230), Canadian War Experience (10,000), Prairie Immigration (10,000), Manitoba. ca (200,000). Learning objects: 25."

"I do not have estimate of numbers because done via consortial arrangement."

"Even approximate numbers would be difficult to provide. For example, various library units have digital initiatives where the materials are made public. Each unit would have to be contacted and they in turn might have to guess."

"Figures are very approximate; we don't count open access materials separately, so these are estimates. Our theses are generally open access via Library and Archives Canada, although we don't generally direct our own users to that site. We are a federal and provincial depository library, and so we have links to many open access government documents. We would like to do more, but find it difficult to keep up even with links to the resources we pay for."

"I don't at present (brand new ILS) have any way to count the numbers of open access titles to which we link. Journals number is from our link resolver. Monographs number is a guess."

"If we consider Web links, the number would be in the thousands."

"Items have not been tagged in a systematic way to derive an accurate count."

"Locally hosted resources: our institutional repository contains 622 documents as of February 22; the number is not broken down by document types. "

"Number reported under journal include technical reports and proceedings. The SFX KB was used to find out the number of active free journal collections. Some of those SFX free targets (collections) include journals, technical reports, and conference proceedings. Links to government documents are included in our MARCIVE records."

"Numbers of journals and monographs are difficult to estimate because data identifying titles as open access are often not available in bibliographic records."

"Other than for journals, we have direct links to very few of the other OA resources. When we link to

monographs or technical reports, for instance, it is almost always to an externally hosted portal for monographs or technical reports, etc., rather than cataloging or linking directly to a particular instance of a monograph or technical report.”

“NB: Our numbers are for items, not titles, as institutional repositories generally do not count their contents by titles included (unless the collections consist only of items easily measured on a title basis, e.g., theses and dissertations).”

“Research Exchange includes back issues of journal titles, individual journal articles, and presentations by individuals.”

“Since our collecting is based on value rather than source, we do not track this information.”

“Statistics for OA are not kept separately when their access is integrated with that of other materials.”

“This is not something we’ve counted as such, but I have estimated “journals” by including the titles in the DOAJ plus 25%.”

“We have links for Open Access titles in all of the above categories; however at this time there is no simple way to count these categories individually.”

“We do not distinguish or have figures for open access resources.”

“We do not track whether an externally hosted resource is OA or not, so we can not provide those numbers. Our locally hosted numbers do not include any previously published material that was converted as part of our digitization efforts.”

We have 2481 URLs in our OPAC which are not restricted to our users only—these are freely available resources of a variety of types, including 1388 DOAJ titles. It is not possible to determine which of the remaining URLs are truly Open Access. These records cover most of the first 6 categories listed above.”

## SELECTION

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### 5. Does your library’s collection development policy specifically address criteria for selecting externally hosted OA resources? N=68

<b>Yes</b>	11	16%
<b>No</b>	57	84%

### 6. Are the selection criteria for externally hosted OA resources the same as for other electronic resources? N=62

<b>Yes</b>	49	79%
<b>No</b>	13	21%

**If no, please explain how they differ.**

## **Selected Comments from Respondents**

"Although we do not have anything formal about OA resources in our collection development (CD) policy, the CD Department has worked through criteria which we hope to add to our policy related to OA e-resources added to our OPAC. They include the permanence and reliability of a resource. Currently, subject librarians can choose at their own discretion what to add to their subject guides (which they maintain individually)."

"Because of Google Scholar, PubMed, and MS Academic Live links we've decided to add all Open Access resources available through DOAJ and other resources listed in Serials Solutions in our Open URL resolver, ERM, and OPAC. We decided that we'd look silly trying to explain to our faculty why we weren't subscribing to high quality free publications. Given the number of open access titles in DOAJ, over 2000 at the time, it was quicker to accept all than to have the selectors review all the titles and pick the ones that they wanted."

"Collection Policy Statements are in the process of being revised with respect to selecting electronic resources."

"It depends on the type of resource. Open access journals are treated much the same as other journals. Reports, archives, theses, and other documents harvested from OAI sites are not analyzed with the same criteria as journals."

"Policy needs to be reviewed to reflect current scholarly publication environment."

"The library is in the midst of documenting/creating collection development policies, so it's possible that OA resources might be included in an electronic resources policy."

"There's a separate committee that decides which OA resources are cataloged. Also, from SFX, we link to DOAJ content rather than individually selecting titles."

"To the extent that cataloging services can maintain records, all Directory of Open Access Journals are in the OPAC. This is true for the open-URL resolver as well (package level profiling rather than title-level)."

"We add all DOAJ, etc., not title-by-title selection as we do for purchases."

## **Additional Comments**

"All resources must support teaching, learning, and research at our university. Collection development policies guide the selection of material, without necessarily referring to material type or source."

"Although we try to support the OA concept, we select based on relevance to our user community, regardless of cost model."

"At this point in time, we consider OA resources on the same merits as any other resource being reviewed for acquisition."

"Collection development librarians are able to recommend OA titles be added to the OPAC and subject guides/library Web pages."

"Collection managers make selections on the basis of content and suitability for our users' teaching and research needs. The manner of publication should have no bearing on the selection process."

"Collection policy thus far is format agnostic."

"Criteria are the same except for any criteria that involve pricing."

"Items are selected based on suitability for collection and their support of the university's academic mission. A more formal collection development policy is currently in development."

"OA resources are individually selected by collection managers, except in the case of our link resolver where OA journals are enabled by default."

"Open Access resources must meet the same quality standards as other materials that the library acquires."

"The criteria used are not different. We question though the economic model of some open access resources that transfer the production costs from the authors to the libraries: open access resources are in those cases more expensive than commercial ones. For example, BioMed Central: the more our researchers publish in those journals, the more expensive it is for the libraries."

"The special criteria for online resources relate to technical issues; otherwise the policies deal with subject/level criteria which cover all formats. Open access is not an issue, except in that we can immediately link to desirable OA resources, but may have to delay purchase of restricted ones due to financial constraints."

"We add open access titles to the collection as they become available, when the title is relevant to the collection. The same selection criteria apply to open access titles as to any other library materials."

"We do not differentiate on the basis of funding. We set criteria for content first, with a focus on relevance to our research and teaching. Other criteria follow."

"We link to OA materials (for example DOAJ-listed materials) with no special criteria. Individual subject selectors may have their own criteria for requesting cataloging of OA materials."

"We only add resources to our collection that meet our selection guidelines. The bar is neither higher nor lower for open access materials."

"We select on the basis of potential support for instruction, learning, and research. We consider cost, quality, etc. I would like to develop a systematic approach to selecting OA materials."

**7. Are the library staff who make selection decisions for externally hosted OA resources the same as those who make selection decisions for other electronic resources? N=67**

<b>Yes</b>	61	91%
<b>No</b>	6	9%

**If no, please briefly explain who selects OA resources and who selects other electronic resources.**

## Selected Comments from Respondents

"Catalogers who describe OA resources in the catalog have a greater role, though they select based on recommendations of bibliographers."

"Currently most relevant decisions are by Digital Repository development staff. Policy will become more inclusive in time."

"Final decision about electronic resource purchase is made by collection development librarian (and for bigger purchases the library administration is involved as well). Collection Development Librarian does not get involved in the decision making process for most OA resources, addition of OA resources to library Web site and OPAC is based on liaison's request."

"It is initiated by different staff and handled differently. E-resources staff or others in acquisitions learn of a collection of free resources and ask selectors if they want to add the whole group of resources or not add it. It's all or nothing at this point in time."

"Right now, as we start, a team is identifying resources, but our plan is for department liaisons to be the decision point for including items, once we are further along."

"Sometimes they are the same, but other times due to the large number of records that could be harvested, we do not go through the same process."

8. Does your library provide financial support to any OA journals, including payment of author fees or article processing charges for local faculty, either directly or through a consortium?  
N=67

	N	Locally Hosted N=50	Externally Hosted N=66
Yes	48	18	45
No	37	32	21

If yes, please briefly explain the type of financial support.

## Selected Comments from Respondents

### Locally Hosted Only

"Library's journal publications are hosted and are OA."

### Externally Hosted Only

"BioMed Central membership. NB: For locally hosted resources, we're not including staff time and support for processing OA resources, but of course there is some cost associated with staff supporting these."

"BioMed Central—Supporters membership (discount to authors); PLoS Active Membership (discount to authors)."

"D-LIB journal, BioMed Central contribution (not author fees)."

"Institutional memberships such as PLoS, BioMed Central that provide discounted author's fees for articles accepted for publication."

"Library pays for 'memberships' which allow for discounted author fees for our institutional authors."

"OhioLINK fees."

"The Library is a member of BioMed Central, and pays author/article fees for submissions. We are preparing an institutional repository and will be subsidizing those expenses."

"We are a member of PLoS. We provide a 30% reduction of author fees to faculty if they publish with PLoS."

We provide membership and founding support for some OA resources, e.g., BioMed Central, Stanford Encyclopedia of Philosophy. In some cases we pay 'subscriptions,' e.g., International Journal of Disability and Rehabilitation, Nucleic Acid Research."

"BioMed Central author fees are covered by a consortium group membership with the provider."

"SPARC — charter member support; Vanderbilt TV Archive — initial 2yr sponsor; Stanford Encyclopedia of Philosophy — 3 yr membership; BioMed Central membership — lowers author fees."

"We cover 100% of BioMed Central article processing charge, and through PLoS membership provide 30% for faculty authors. We also indirectly support other OA efforts—by maintaining subscriptions to journals with an OA option and discounts for authors from subscribing institutions."

### **Both Locally and Externally Hosted**

"As an early member of SPARC, we have provided some financial support to the production of SPARC titles. The College Library publishes one e-journal, and absorbs all costs."

"Locally hosted — we host and provide technical support for OA journals connected with faculty/groups at the university. Externally hosted — we have membership fees for OA journals such as BioMed Central and PLoS, which offset the costs of author fees. We contribute funds towards projects such as the Stanford Encyclopedia of Philosophy."

"Locally: library hosts at no charge. Externally: library subsidizes authors' fees."

"PLOS and PNAS discount for authors."

"PubMed Central member; SPARC member."

"SPARC Membership; SSRN Membership (law library); Server and support for locally hosted law journals and ETD repository."

"Support through subscription and/or author fee. We have done this on both the local and consortia level."

"The libraries have a subscription to BioMed Central. The Libraries are hosting the online archive of locally

published journals with back issues (three titles to date).”

“The library has dedicated financial resources to build a scholarly publishing office which publishes OA journals. Although the journals still take on the cost of acquisition, review and editing, our office provides electronic content preparation services and hosting free of charge to them.”

“The library runs an OJS service that currently hosts two titles, and hopes to expand. So we have costs associated with providing the service. We also pay a yearly fee to BioMed Central to facilitate publication by local authors. I believe this is the only case in which the library directly subsidizes author fees.”

“We are members of BioMed Central, Public Library of Science. We support Stanford Encyclopedia of Philosophy, and similar. We pay author’s fees for IOP. In addition, there is some in-kind contribution as we process and host local content.”

“We fund author fess and offer support for certain Open Access packages/titles out of our Collections Budget.”

“We host one journal on our server and we are members of Public Library of Science and are investigating membership in BioMed Central.”

“We host two journals now and expect to add more through our digital imprint, Newfound Press. We currently subscribe to Public Library of Science, and previously, to BioMed Central. We have also contributed to the Stanford Encyclopedia of Philosophy project.”

## CATALOGING

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9. If the library includes catalog records for OA resources in the OPAC, how are the records obtained or created? Check all that apply. N=65

	N	Locally Hosted N=45	Externally Hosted N=64
Download records from OCLC	55	19	55
Library staff create original, full records	52	39	44
Acquire records from another third party such as Serials Solutions	37	3	36
Library staff create original, brief records	35	25	22
Acquire records from other libraries (e.g., consortial partners)	21	1	21
Other method	11	5	7

**Please specify other method.**



## Selected Comments from Respondents

### Locally Hosted

"Automated harvesting of XML metadata."

"Faculty create their own records."

"For ETDs, MARC records will be exported from our repository workflow management system."

"Metadata created for image management system (Greenstone; Luna Insight)."

"Some contributors to IR provide metadata."

### Externally Hosted

"Automated harvesting of XML metadata."

"ERM creates brief records."

"Generated from ERM."

"Government documents records are also supplied to us via MARCIVE."

"OCLC LTS catalogues monographs."

"Provided by vendor (e.g., ProQuest)."

"Publisher provided."

"We generally add a link to the OA resource to a pre-existing record for the print version of the resource; we occasionally download records from RLIN."

10. If library staff create catalog records for OA resources, are they the same staff who create catalog records for other electronic resources? N=63

<b>Yes</b>	60	95%
<b>No</b>	3	5%

**Please briefly describe which staff create catalog records for OA resources (e.g., title(s) or categories of staff, number of professional and support staff.) Approximately how much time is spent each month cataloging OA resources?**

Staff Category	Amount of Time Spent Cataloging
1 cataloging librarian	Unknown
1 Electronic Resources Cataloger (Professional) 1 Serials Cataloger (Professional) 2 Paraprofessional Catalogers	16 Hours
1 Electronic Resources Cataloguer – librarian 4 Library Assistants (level 4) Support staff	Varies, between 5 and 10 hours
1 professional 2 support staff	8–10%
1 professional librarian	We don't track the amount of time spent on this.
2 librarians 2 staff	NA
2 support staff	40 hours/month
2 support staff in serials cataloging	30 hours
3 cataloguing librarians	As required
3 professional catalogers 1 staff member	100 hours/month
5 Library Specialists (paraprofessionals)	2 hours
A recent reorganization has increased the number of staff dedicated to cataloging of all e-resources, including OA. We now have 2 librarians and 3 support staff	
In ERMS, paraprofessionals as part of ERMS maintenance. Records from ERMS also are OpenURL and OPAC records. In IR: Teaching/research faculty and student assistants; professional librarian, student staff with professional review.	Less than 20 hours per month by library personnel
All of these staff work with OA materials as needed. None is assigned full time. Cataloging and serials department personnel, assigned based on assigned subject/format areas. Cataloging: 6 professional, 12, paraprofessional. Serials: 3 paraprofessionals.	Variable, but not too much.
Both professional and technical staff in Acquisitions and Bibliographic Access divisions plus dedicated cataloging staff in several special collections	Unknown
Catalogers and electronic resource staff 3 professional 5 support	4 hrs
Cataloging staff	20
Cataloguing librarians	NA

Staff Category	Amount of Time Spent Cataloging
Cataloguing support staff, but majority of records are automatically generated by our ERM.	3 hours
Copy-based catalogers in serials & monograph cataloging units (8)	NA
Different library units have their own approaches; some units have professionals assigning metadata, others have support staff and some have both levels of staff.	No way to know. Very minor portion of catalog work—probably less than 1% of total time spend on cataloging.
Either professional or support staff. Largest type of materials is theses and dissertations which are primarily handled by support staff.	2 hours
Electronic Resources Cataloger 1 professional	Very little - less than 1% of cataloger's monthly time
Faculty and paraprofessional catalogers create catalog records, both within our METS-based Workflow Management System and through OCLC for direct export to the SIRSI Unicorn OPAC.	5%
For individually cataloged items, Electronic resource specialists in the cataloging department provide cataloging. For batches of harvested items, library systems staff provide the load services and configuration.	10–20 hours for individually cataloged items. Less for batch loaded materials.
For OA resources for which cataloguing copy is readily available (e.g., books from National Academy Press, Canadian government documents), any one of a group of clerical staff may handle these. Most of the work on OA journals is done by a higher level of staff with BAs (similar to library technicians, but with all library training in-house) using copy from other libraries. For OA resources that have no copy elsewhere, such as the 2 journals hosted locally (because they were brand new), a professional librarian (me!) creates the records.	Less than 2 hours
Head of Cataloging [faculty librarian] Serials Cataloging Supervisor [exempt staff supervisor]	Almost none
Librarian catalogers.	4 hrs
Librarians 5 support staff (LAIII-LAV)	We don't track. Cataloging open access is part and parcel of the normal workload.
Library Assistants (paraprofessionals) in Acquisitions and Rapid Cataloging unit (4 total)	Unable to estimate
Library assistants who may have some library techniques courses, or who are trained on the job; they are not professional catalogers.	NA

Staff Category	Amount of Time Spent Cataloging
Library Associates	5 hours
Library IV (upper level staff member) registers OA journals with Serials Solutions in addition to cataloging other e-resources. Librarian III (professional librarian) creates K-level cataloging for locally hosted resources.	2–3 hours
Library Sp. Sr. 1 Library Specialist 2-4 Catalog Librarians	5 hours
Library technical assistants (3) Professional (1)	NA
Main Library:	We do not keep track of the amount of staff times spent on cataloging only OA resources.
Monograph and Serials Catalogers and cataloging support staff	NA
Monographic catalogers catalog OA books; serials catalogers catalog OA serials, etc.	
One full time serials librarian (as a component of her responsibilities for managing serials cataloging), with occasional support from 1.5 FTE original catalogers (as needed)	2–5 hours
1 original cataloging librarian handles these materials as a part of regular workflow.	1–2 hours
1 professional librarian 3 support staff	Unknown (insignificant amount <5 hrs/month)
Selected limited records are cataloged by one professional staff and one support staff	5 to 15 hours
Serials Cataloger (professional)	Less than 2 hours
Serials catalogers	A miniscule amount
Serials catalogers (librarians and non)	Up to 120 hrs depending on volume of state docs and ETDs
Serials catalogers both paraprofessional and professional, this is a tiny part of the job of several individuals.	Unknown. About 10 titles per month are added to the catalog.
Technical services faculty and staff.	Unknown
Technical Services staff	NA
The records are created by Cataloging and Serials staff. It is done primarily through the use of MARCIt! and coverage loads in Ill.	5 hours

Staff Category	Amount of Time Spent Cataloging
The UCLA Library Cataloging and Metadata Center consists of 15 FTE librarians and 29 FTE staff. Copy cataloging for e-resources is done by staff ranked at Library Assistant III and above; original cataloging for e-resources is done by staff ranked at a Library Assistant V or above (Librarian).	Unable to quantify at the present time.
This work is done by two Cataloging and Metadata Services Librarians (professionals) and one Cataloging and Metadata Services Specialist II (senior support staff).	2 hours
Three categories of staff: high level support staff (10) Professional assistants (2) Library faculty (5)	25–30 hours per month
Three full-time professionals and two full-time paraprofessionals in the AUL Cataloging Department create catalog records for OA resources.	No more than 2 hours per month
We do not treat these resources any differently from non-OA resources; cataloguing staff would integrate this into their workload.	Unable to determine

11. If catalog records are created, are they contributed to OCLC? N=63

<b>Yes</b>	56	89%
<b>No</b>	7	11%

12. If the library includes links to OA resources in catalog records, are the resources identified by some kind of field or tag (e.g., a local series entry)? N=65

<b>Yes</b>	26	40%
<b>No</b>	39	60%

If yes, please briefly describe how they are labeled.

**Selected Comments from Respondents**

"039 Marc tag."

"856 field - URL source"

"856 field indicator is 40"

"856 PURL"

"856 subfield z = freely available online."

"856 tag 1 labeled as 'linked resource.'"

"856 tag subfield z Free"

"Added entry for package or 'Open Access resource selected by the UCSD Libraries ..."

"Coded as 'free web' but not distinguished from other free or 'free with print' resources."

"DOAJ titles have a 730 'Directory of open access journals.'"

"Either in the 856 \$z or by the nature of the persistent URL assigned to the resource."

"Either with an added author (usually corporate) entry, or an added title or series entry."

"For theses and dissertations there is a computer file tag. There is no particular tag to indicate OA."

"Labeled in a corporate entry field: [Name of Resource]- York University."

"Locally created series statements."

"May not be specified as OA. Electronic Resources have note: Web site/Electronic Resource – URL. Also have holding record with location listed as: Electronic Resource."

"Most open access journals include a 730 of 'Open access journals.' Additionally, open access journals do not include a note regarding access restrictions (845) whereas licensed resources do include this note in the OPAC record."

"Note field and holdings record indicate this."

"Our local projects are identified by a series statement, external resources tend to not be so identified."

"Records from the California Digital Library Shared Cataloging Program include a title hook in the 793 field 'Open Access Resource; Selected by the UC Libraries.' Other open access resources are not identified in any field or tag, but are recognizable by the absence of any note specifying restrictions on access, e.g., 'Restricted to UCI' or 'Restricted to UC Campuses.'"

"SFX button or 856 link."

"The subfield z in the 856 identifies the source (Government web site, Federal Reserve Bank of Minneapolis, etc.) It does not specifically identify that this source is open access."

"There is no special labeling. Full catalog records are contributed to OCLC, brief catalog records are not."

"URLs are added to holding records. Notes include: Freely accessible; Free access made available at the publishers discretion."

"Various fixed and variable length fields depending on the nature of the record."

"We use the MARC 773 field to identify open-access resources."

## LINK MAINTENANCE

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13. How does the library monitor changes and/or maintain links to externally hosted OA resources?  
Check all that apply. N=67

Respond to reports of problems	60	90%
Rely on data provider (e.g., Serial Solutions) for link checking	43	64%
Link checking software or scripts from a third-party, please specify	22	33%
Do not systematically monitor or maintain links locally	19	28%
Link checking software or scripts that are locally developed	14	21%
Other method, please describe	8	12%

### Selected Comments from Respondents

"Circulation students systematically review links."

"For GPO PURL, rely on GPO."

"Link checking software from ILS."

"Local shareware programs."

"Manual checking."

"Marclt records/updates from SFX."

"Student manual link-checking."

"We use the ILS linking software to identify and correct broken links."

### Link checking software:

Innovative Interfaces checkbot (2 responses)

Innovative Interfaces URL Checker module

JTurl

LinkBot (2)

LinkScan

OCLC PURL link checker software (3)

Voyageur LIS software

WebLinkValidator

Xenu (3)

Link checking software provided by the university

Software provided by library ILS

"Currently investigating new software."

**14. Has the library experienced any other significant link maintenance issues that are unique to OA resources? N=64**

<b>Yes</b>	8	12%
<b>No</b>	56	88%

**If yes, please briefly describe the problem and how the library addressed it.**

**Selected Comments from Respondents**

"3000+ OA journals in link resolver have frequent URL changes and require more maintenance than average title. Also have tendency to disappear."

"In local Electronic Resources database the links are checked infrequently. Links break and it is difficult to trace to correct resource. Manually checked in ERDB, now moving to Serials Solutions, they do most work. Occasionally, we find a problem and send it to them. Not as time consuming as before."

"Not significant problems, but it is our impression that URLs may change more frequently than other resources or journals may go from open access to subscription-based without notification."

"OA resources are no more volatile than the paid titles; equally problematic for maintenance."

"OA resources, particularly Canadian government documents, seem to be less stable than our subscribed resources. The government documents are the group most likely to have URL changes that we are not notified about except through problem reports."

"Occasionally, there are titles that are listed as OA but are not full OA or are not OA at all. Those problems we fix in our SFX Knowledgebase and report problems to SFX."

"Often it takes longer for OA sites to resolve technical difficulties at their end. Normally if a free e-resource is not available we delete it. We tend to give truly OA sites a little longer before making this decision."

"Sometimes a title seems to be free and then it requires payment. Sometimes a title drops from DOAJ because it no longer meets their criteria and we point to DOAJ in our link resolver."

"These 'free' e-journals often move to paid subscriptions without notifying libraries, and in some instances they vanish without notice."



"Unstable links; URL changes. Links are repaired or removed."

"Web sites are often down, URLs change, items/titles are no longer available (titles 'go away)."

"We've found that link maintenance issues are not unique to OA resources."

## USAGE TRACKING

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15. Does the library track the usage of OA resources? N=67

	N	Locally Hosted N=54	Externally Hosted N=66
Yes	41	25	36
No	39	29	30

**If yes, please briefly describe the tracking method.**

### Selected Comments from Respondents

#### Locally Hosted Only

"All locally owned OA resources are stored in the repository. Downloads are tracked for statistical purposes. RULs for open source journals are treated hierarchically as collections (title level), subcollections (issue level), and objects (article level)."

"COUNTER plugin that is bundled with the Open Journal Systems software tracks full text access by month. Statistics module bundled with DSpace tracks bitstream views, item views, IPs, searches performed, etc."

"Statistics package in institutional repository software."

"Use of local holdings may be gaged through analysis of server logs."

"We collect data for each resource on: the number of sessions, number and types of searches, number and types of browses, and number of views."

#### Externally Hosted Only

"Data, when available from the publisher (OA or otherwise) is centrally compiled and reviewed by subject selectors."

"If in SFX, yes we track usage via SFX, otherwise no."

"In theory, if in SFX KB, can get usage statistics and if tracking from A&I (or other source) databases can get usage stats."

"NetTracker Number of ClicksStats from SFX and Metalib."

"Only when vendor provided usage statistics are available."

"Our open-URL resolver (SFX) provides indirect usage data."

"SFX statistics."

"Statistics from open URL resolver."

"Through the usages statistics in Serials Solutions."

"Usage statistics from publisher."

"Usage can be tracked via the library's electronic resource a-z list or via SFX."

"Usage of externally hosted OA journals & databases are tracked in the same ways that non-OA titles are tracked. Locally developed E-metrics Tracking Tool & publisher stats are retrieved."

"Usage statistics are available through our link resolver."

"Vendor-supplied statistics."

"We can get usage stats from SFX for the free resources."

"Web gateway statistics."

### **Both Locally and Externally Hosted**

"Externally hosted: if the title is offered by a vendor or publisher that supplies usage data, we can track usage. Locally hosted: library Web usage statistics are collected locally."

"For local: 123LogAnalyzer. For external: vendor reports and Serials Solutions click-through statistics."

"In our institutional repository, we have recently installed counters (etds, LOs). We do keep SFX data and from time to time use extract reports. In the case of BioMed Central only we download the stats from the publisher. With digitized Web pages we can track page hits but haven't done much of this to date."

"Internal URL resolver."

"Internal: Net Tracker software; External: Serials Solutions."

"It depends on the source—some usage statistics are pulled from our own databases and other statistics are supplied to us from third parties or from our consortium."

"Local index counter."

"Local programming was created to track use."

"Local stats come from our internal usage logs. External stats, unless provided by the supplier, which is rare in the case of OA titles, come primarily from our SFX and Proxy logs."

"Locally and externally hosted resources are tracked by local logging procedures, analysis of SFX transaction database, and vendor supplied stats in the case of the IR."

"Locally hosted: Web hits for these products, internal statistics using the OJS software. Externally hosted:

usage stats from the vendor.”

“Locally hosted: server logs and repository software. Externally hosted: report from SFX of statistics for collections of OA journals in the SFX knowledgebase.”

“Locally hosted: tracked on Web page by internal counter. Externally hosted: tracked by in-house internal counter.”

“Locally hosted: we have usage statistics for documents in our institutional repository. Externally hosted: we have usage statistics for some OA titles in our link resolver (SFX), for examples titles in the DOAJ (Directory of Open Access Journals) list.”

“Locally: local Web server usage stats. Externally: primarily Ser.Solutions for journals.”

“Statistics are gathered via the SFX Linkresolver for those in SFX. DSpace software used for the Research Exchange provides usage statistics.”

“Usage reporting built into system.”

“We track OA titles locally in the same manner that we track other resources through our home grown Electronic Resources Web interface; however, we do not distinguish OA from other online resources.”

“We track usage of our online resources if possible. We use statistics from publishers whenever possible, and also collect ‘click through’ statistics for our electronic journals. For OA monograph publications, we have little or no tracking of usage.”

“Web logs, Serials Solutions reports, in some cases usage logs in COUNTER format from open access sites that provide this.”

## PROMOTING USE OF OA RESOURCES

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16. Please indicate what methods the library has used to help library staff and users understand what open access is and to alert library users to the availability of OA resources. Check all that apply. N=56

Include OA resources in pathfinders or subject guides	44	79%
Discuss OA resources during instruction sessions	30	54%
Discuss OA resources in newsletter articles	27	48%
Library Web page that explains what OA resources are	26	46%
Discuss OA resources during the reference interview	25	45%
Send e-mail alerts about newly available OA resources	20	36%
Other method, please describe	20	36%

## Selected Comments from Respondents

"793 is visible to patrons."

"A 'globe' icon identifies Open Access resources on our Index & Database list."

"Campus forums."

"Contact faculty."

"Discuss in meeting with faculty groups."

"ERM gateway indicates OA resources in note."

"Faculty discussion/presentations, University Committees."

"Faculty office visits."

"Faculty presentations; information in our IR brochure; using SPARC brochures."

"Held a forum in 2005 on OA publishing."

"In preparation: invitational session for OA contributors; campus-wide: survey of OA awareness and participation."

"In the course of collection assessment reports to faculty have identified OA resources and as a result have added them to OPAC or Web pages."

"Meetings with faculty groups; distribution to all faculty of ACRL/ARL open access flyer."

"Open access is a major topic in current discussions with faculty and with the Council on Libraries."

"Provide special search functionality in the library's Web site to search only free and open access materials. Meet with faculty to discuss open access alternatives for publication. Discuss during departmental meetings issues surrounding economics of publishing and open access. DOAJ, PubMed Central, and BioMed Central journals are cataloged separately and identifiable via our local OPAC."

"RSS feeds generated from catalog."

"Some OA information is included in the Scholarly Communication Web pages."

"We treat OA resources like other resources."

"Web site designed to advocate open access issues."

"Worked with university to establish campus OA fund to support publishing fees."

### 17. Does the library promote OA resources any differently than other electronic resources? N=67

<b>Yes</b>	17	25%
<b>No</b>	50	75%

**If yes, please briefly explain the difference.**

### **Selected Comments from Respondents**

"For OA documents in our institutional repository, our Digital Initiatives staff notify the library of new electronic theses and dissertations, new collections of other documents, or updates in the number of items available."

"Generally, we would not, but as this is something new to researchers, we have a larger awareness campaign to undertake. Researchers have questions about author fees, etc. which we need to explain. Promotion then focuses on some of the unique issues with OA resources and why the library supports these resources."

"Highlight in newsletters."

"In larger context of scholarly communication issues."

"In sense that we promote in communications with faculty and grad students about scholarly communication issues; we don't promote differently in terms of resource usage."

"Locally digitized collections (state docs and cultural heritage materials) promoted through conference presentations, press releases, posters, etc."

"OA resources get much less attention when it comes to marketing. We are having a hard time reaching our patrons with the promotion of paid resources. We just have not put much effort into promoting OA resources."

"Resources that are paid for tend to get higher level of 'press.'"

"There tends to be less emphasis on OA resources than on purchased e-resources. OA is of lower priority to promote as a whole. However, if a valuable resource in a field of study happened to be OA, there would be no hesitancy in promoting and providing access."

"These are targeted for examples of changes in Scholarly Communication model."

"We have a robust Scholarly Communications outreach program. The promotion of OA resources and publishing alternatives is key to our Scholarly Communication education plan."

"We do promote our institutional repository more aggressively than other OA resources."

"We have a Web page that indicates discounts available to faculty to support publication in author pays type open access resources. As part of our promotion of UC eScholarship, we discuss opportunities for establishing new open-access journals with faculty who are interested."

"We have promoted DOAJ and PLoS as scholarly publishing models for the common good of the academic community and models with high potential for sustainability."

"We promote our online journal application—a modification of the open source OJS system—as a service provided by the libraries' repository."

"We tend to more heavily promote resources for which the library has paid."

"Yes, they are featured in campus-wide newsletters."

## ADDITIONAL COMMENTS

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18. Please enter any additional information regarding open access resources at your library that may assist the author in accurately analyzing the results of this survey.

### Selected Comments from Respondents

"Local consortium is producing shared catalogue records for provincial open access government publications."

"OA titles fully integrated into our e-resources policies & procedures. We support alternative titles in our subject areas, e.g., by purchase of relevant SPARC titles."

"Open access resources are fully integrated into library selection and processing practices, and library discovery tools. Library bibliographers are communicating with faculty about open access issues and opportunities. Bibliographers' Annual Reports include a Scholarly Communication section: 'Describe any faculty involvement in open access publishing initiatives.' Inclusion of this section helps promote and record results of conversations on this topic, and identify specific resources where appropriate to the subject area."

"Open access resources are not treated any differently than any other resources we wish to promote. We always try to match the appropriate resource to the need our patron expresses. If the need can be fulfilled by the use of an open access resource, the resource will be included in the recommendations."

"Use and promotion of use of open access resources varies by subject area selector and bibliographer. Some staff actively seek out these resources and ask for them to be cataloged. Some selectors never do."

"We don't have a collection policy for OA materials. If a resource is identified in a subject area relevant to the university, we add it like any paid resource. We are just beginning an institutional repository though we do have some cool local resources available through the library."

"We found several of these questions difficult to answer, since we don't really think of OA titles as different from anything else. They are woven into our overall selection and access mechanisms in such a way that makes it difficult to tease out minor differences in approach."

"We have a vast collection of e-material. We have challenge enough with cataloging all parts of our 'paid for' resources. Consequently, the shifting sands of OA get less treatment. On the other hand, OhioLINK and Serials Solutions allow us to track major portions of the OA journal collections through tools that are heavily used locally."

"We have created a small OA repository of local reports, pre-prints and other documents, but they are not yet widely available via OAI."

"We host journals using Open Journal Systems and conference proceedings using Open Conference Systems."

"While we are happy to take advantage of OA resources by linking to them once they've been identified as valuable, we have rarely made any push to add them to our resources (an exception would be BioMed Central; we have tried to add all its journals, and the free backfiles from HighWire Press). Our efforts have been focused mainly on paid resources and there has never been time to do much to seek out OA resources."

## RESPONDING INSTITUTIONS

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University at Albany, SUNY	University of Massachusetts, Amherst
University of Alberta	Massachusetts Institute of Technology
Arizona State University	University of Miami
Auburn University	University of Michigan
Boston College	University of Minnesota
Brigham Young University	University of Missouri-Columbia
University of British Columbia	Université de Montréal
University of California, Davis	University of Nebraska-Lincoln
University of California, Irvine	University of North Carolina at Chapel Hill
University of California, Los Angeles	North Carolina State University
University of California, San Diego	Northwestern University
University of California, Santa Barbara	University of Notre Dame
Case Western Reserve University	Ohio State University
University of Chicago	University of Oklahoma
University of Cincinnati	Oklahoma State University
Colorado State University	University of Pennsylvania
University of Connecticut	Pennsylvania State University
Dartmouth College	University of Pittsburgh
Duke University	Rice University
Florida State University	Rutgers University
University of Georgia	Smithsonian Institution
Georgia Institute of Technology	University of Southern California
University of Guelph	Southern Illinois University Carbondale
University of Hawaii at Manoa	Syracuse University
University of Illinois at Urbana-Champaign	Temple University
Indiana University Bloomington	University of Tennessee
University of Iowa	University of Utah
Iowa State University	University of Virginia
Johns Hopkins University	Virginia Tech
Kent State University	Washington State University
University of Kentucky	University of Waterloo
Library of Congress	Wayne State University
Louisiana State University	University of Western Ontario
University of Louisville	Yale University
McMaster University	York University
University of Manitoba	