



REPRESENTATIVE DOCUMENTS

Committee Charges/Proposals for SC Initiatives

Scholarly Communication In Crisis: A Call For Action

Introduction

The academic community in research institutions across the nation and around the world is becoming aware that the promise of increased access inherent in digital technologies may prove to be a threadbare myth. Business practices of some academic publishers threaten to effectively limit access to scholarly research, thus bypassing the educational call to promote inquiry and knowledge. When faculty are required to sign away all rights to their research in exchange for publication, they are prohibited from posting their articles on their own websites or within a course management system, distributing copies to peers, or including copies in course packs, unless they seek the publisher's permission. Many refer to this situation as the crisis in scholarly communication.

Arizona State University Libraries and the Collections and Scholarly Communication Office (CSCO) offer a multi-faceted program to promote scholarly communication issues on ASU campuses. The program includes a website with general introduction and detailed information about copyright, open access, self-archiving and trends in other institutions, as well as sample contracts and sample contract riders tailored to ASU faculty. CSCO has also created two podcasts on scholarly communication; the first is more general while the second is a thorough treatment of intellectual property rights. In the future, CSCO plans to offer presentations to faculty across ASU campuses.

This is a call for action coming out from ASU Libraries and CSCO. Currently we are establishing a University-wide scholarly communication committee with members from the Libraries and targeted offices across all four campuses. We are charged to embed scholarly communication issues into action agendas. We aspire to introduce a University Senate resolution on each campus encouraging alternative publishing models.

While research at ASU is meticulously tracked and documented by OVPRES (externally-sponsored projects) and ORSPA (annual report of sponsored project activity), there is no formal University-wide working group charged to foster awareness of new alternatives for publishing, disseminating, and accessing the results of research conducted by ASU faculty. Since research expenditures at ASU reached a record high of \$203.5 million in FY 05–06, we call faculty of the New American University to participate in the decision making process and resolve the following: who will control research results and the academic record — educators and researchers or third-party interests?

Charge for the Committee

Whereas, the New American University's goals of access, excellence, and impact are tremendously enhanced by free and open access to research results conducted by ASU faculty and affiliated researchers, this committee is charged to:

1. Encourage faculty to maintain control of their scholarly work by retaining intellectual property rights, in order to allow them greater freedom to direct the dissemination of their work and thereby maximize the impact of their scholarship.

2. Encourage faculty and other members of the University community to support new models for scholarly publishing, including: open access journals and archives; disciplinary and institutional repositories; and other approaches that enhance the broad dissemination, depth, and impact of knowledge while preserving peer review and excellence in scholarship.

Desired Committee Outcomes

- Forums and/or outreach programs are held to educate faculty and researchers on new models for scholarly publishing (e.g., institutional repository, open access journals, etc.)
- Measures are implemented that support the flexibility for faculty and other researchers to employ their work for teaching, learning, and research in an evolving technological environment.
- Faculty and researchers are provided with sample language that they can use to retain all rights and license publication or transfer copyright but retain some specified rights.
- Issues are presented to the Academic Senate on each campus in the form of a resolution.

Current Membership

- Jeanne Richardson, Tempe Campus, Chair
- Marilyn Myers, West Campus
- Brian Doherty, Polytechnic Campus
- Deborah Abston, Downtown Campus
- Representative from the OGC
- Representative from ORSPA
- Representative from the OVPRES

University of Guelph Library

Transforming Scholarly Communication: A Program Proposal (DRAFT)

Connecting the Dots.....

Catherine Steeves, Chair

Melanie Boyd

Scott Gillies

Doug Horne

Wayne Johnston

Proposal to Chief Librarian's Council

April 16, 2007

Transforming Scholarly Communication: A Program Proposal

Connecting the Dots...

Introduction

The University of Guelph Library has recognized the importance of supporting the transformation of scholarly communication for some time. As a result we are engaged in many activities that support this transformation. However, what we lack is a cohesive program to guide our actions and engage the University. The integrated plan calls for the development of a scholarly communications program to address this issue. If successful, such a program will permeate the library and become a part of our everyday dialog.

Scholarly communication, in a nutshell, is the process used by scholars to share the results of their research. It is the system through which research and other scholarly writings are created, evaluated for quality, disseminated to the scholarly community, and, preserved for future use. One of the fundamental characteristics of scholarly research is that it is created to facilitate inquiry and the creation of new knowledge.

The traditional system of scholarly communication, that of publication in commercially produced peer-review journals, is breaking down. Libraries and their institutions can no longer keep up with the increasing volume and cost of scholarly resources. Scholars end up giving away their articles to journals that their institutions can no longer afford. Access to scholarly communication is limited, producing barriers to the creation of new knowledge.

Thankfully, electronic publishing, innovative business models and the intervention of scholars and societies offer new opportunities for sharing scholarly information. The Library's role in this transformation is primarily in the areas of education, awareness and advocacy, spurring the scholars into action and pressing our publishers for new economic models that provide broader access. In this program we also play the roles of publisher, advisor, collaborator, and facilitator.

The core components of a scholarly communications program are:

- Education, Awareness and Advocacy
- Author Rights – Copyright Management
- Alternative/New Publishing Models
- Digital Collections Development

Current Context

Library Preparedness and Faculty Awareness

The Library has been fostering emerging services with the open access scholarly journal publication service and the pilot institutional repository. The Emerging Services Steering Team (ESST) institutional repository working group has recommended a strategy to move the service into production with an institution-wide mandate and the implementation plan is forthcoming. The journal publication service now publishes four peer-reviewed journals, collaborating with the College of Arts, Office of Research, and the Axelrod Institute of Ichthyology (the fourth collaboration is with The Partnership of provincial library associations).

The Campus Author Recognition program has raised the profile of authors who have published books in the previous year and has reinforced the library's role in supporting scholarly communications.

The Library's active participation in consortial licensing and purchasing initiatives such as the Ontario Scholars Portal and the Canadian Research Knowledge Network ensures that we achieve more favorable pricing models on a regional and national scale. We also contribute to the transformation of scholarly communication through participation in regional, national, and global digitization initiatives such as the Open Content Alliance, Our Ontario and Alouette Canada.

Through E-Learning and Reserves operations the Library has been providing advice and information on scholarly communication issues as faculty request that materials be made available in digital format. Faculty contact the library with inquiries about copyright and licensing issues around materials used for teaching or research needs. They request information on and assistance with payment for copyright permissions, integrating material in course management systems, and providing stable links to materials.

The faculty are perhaps most aware of scholarly communication issues surrounding electronic journal publications. The high cost of scholarly journals and the need for copyright clearance are generally understood. However, they are largely unaware of the role they could play in changing the system. There is little indication of an awareness of author rights/copyright management, or, alternative publication models. The exception being that faculty in editorial roles are beginning to come to the library for advice on bringing print publications online and they are willing discuss the possibilities of open access publication. We are beginning to see faculty inquiries about the possibilities of providing access to their electronic texts through the library but in most cases they clearly have not considered the copyright transfer issues.

The library also works with the university's Office of Research and Business Development Office on intellectual property issues and will refer faculty to these resources for more detailed information, or to receive advice from the Copyright Officer or an expert on technology transfer. Here faculty can receive assistance dealing with copyright, patents, and the ownership of innovation. The Office of Research also has its own policy on the issues of copyright and the ownership of intellectual property for creations developed at the university or utilizing university funding.

Connecting the Dots....

The proposed scholarly communications program will establish the framework from which our activities in support of the transformation of scholarly communication will hang. Without the cohesion of an articulated frame of reference it is difficult for our initiatives to be understood and for them to reach their full potential. The program allows us to “connect-the-dots” between emerging and established services that may seem to be, to some, disconnected and to others, out of the picture altogether.

The difficulty in approaching an issue such as scholarly communications is its sheer scope. What can one library do that will make a difference? What can one individual faculty member do? What can one university do? What affect can we have? However, we believe we can affect change and that we must do our part. We must engage our faculty and enable them to do their part. If we do not start this dialog on our campus, who will?

Scholarly communications programs experience and advance through a series of stages on the road to achieving real and lasting change. Joyce Ogburn suggests that there are five stages on the road to transformation: awareness, understanding, ownership, activism, and transformation itself. The key to success is having those who create scholarly materials pursue and lead initiatives

This is a long process. Libraries are not the primary creators of scholarly material and so our role is to raise the awareness of the scholars on our campus and to engage them and enable their own efforts to affect change.

Program Coordination

Scholarly Communications Steering Team (SCST)

Mandate

The SCST is a group with the authority and resources to assume leadership, responsibility, and coordination of the scholarly communications program. The steering committee oversees the program but it must recruit many people to develop expertise, take direct action on the issues, and support, implement and integrate program elements. As the scholarly communications program matures this committee should evolve into an institutional, campus-wide committee reporting to a senior academic officer.

Objectives

- Develop strategy, and identify outcomes that will lead to change
- Set goals and the action agenda and timelines
- Establish policies
- Identify resource requirements
- Identify and engage in partnerships for change

Membership

Head, Academic Liaison
 Head, Information Resources
 Digital Initiatives Librarian
 Academic Liaison Librarian
 Associate Chief Librarian, IT Services
 Campus Partners

Program Elements

Education and Awareness Campaign

Goal

The creation of a communication, outreach, and education campaign.

Objectives

- Website creation
- Library education, awareness and training - development of internal expertise, creation of talking points, use existing contact/service points to deliver the message
- Creation of a Campus Awareness Program - forums for discussion, campus communications, integration with Liaison communications and activities
- Incorporation of SC program elements into existing events and communication opportunities (NFO, Graduate Student Orientation, Freedom to Read, Author Recognition etc.)
- Campus outreach - begin dialog and build relationships with campus partners in order to enable new collaborative efforts in support of scholarly communications

Resources

SCST Task Force(s)

Website : Content – Academic Liaison Librarian to co-ordinate
Design/Development- Eric Bungay

Library awareness and education: SCST and program element coordinators
Communications: SCST and User Communications Committee

Author Rights, Copyright and Publishing Models

Goal

Raise awareness, educate and encourage action with regards to author rights, copyright, and publishing options.

Objectives

- Establish the Library as an expert in the area of author rights, copyright, and publishing options (working in conjunction with the Office of Research and other college experts) by identifying library experts for contact, making resources available on the web, and providing current awareness updates
- Facilitate action through the promotion of publishing options and alternative publication models
- Promote the use of Creative Commons licensing (i.e. author identifies appropriate use of work with attribution upfront “some rights reserved” rather than “all rights reserved”)
- Promote the use of an author addendum to copyright agreements where the author retains some rights to their work (i.e. allowing for submission in repositories and posting on their website)
- Measure impact through adoption rates

Resources

- Information Resources Unit [program coordinator(s) from within this unit]
- E-Learning Operations
- Academic Liaison Unit

Institutional Repository

Goal

To promote scholarly communication by collecting and preserving the University of Guelph's intellectual output and ensuring greater accessibility.

Objectives

- Promote the repository as a vehicle for the transformation of scholarly communications, as well as, a service for contributors, a resource for researchers and a portrait of the research of the university
- Establish a repository that enables open access and the use of creative commons licensing
- Ensure the repository meets standards for access and harvesting in order to increase the impact and visibility of resources
- Collaborate with faculty and campus partners to create a content recruitment strategy (a faculty participation strategy) that speaks their language

Resources

- Program Coordinator – Digital Initiatives Librarian
- Institutional Repository Project Team
- Graduate Studies
- Office of Research
- Academic Liaison Unit

Open Access Journal Publication

Mandate

Provide the support and infrastructure to publish open access journals for campus editors.

Objectives

- Promote the concept of open access
- Enable open access scholarly publication on campus
- Establish service agreement that identifies service levels and responsibilities for the library and editors
- Contribute to the national Synergies CFI initiative which will create a scholarly communications infrastructure to support open access to peer-reviewed journal literature and other research outputs

Resource

- Program Coordinator – Digital Initiatives Librarian
- Information Technology Services
- Academic Liaison Unit
- Ontario Synergies Node – Operational and Management Teams
- Campus partners

Digital Collections Development

Goal(s)

Contribute to the transformation of scholarly communication through participation in regional, national, and global digitization initiatives.

Provide resources and infrastructure for the creation, dissemination and preservation of digital scholarship with an emphasis on the development of new scholarship and non-traditional publication.

Objectives

- Establish digital collections development strategy and collections policy
- Identify high priority print collections for digitization
- Establish resource strategy (local or external partnerships) to meet digitization targets
- Establish digitization standards for internal projects and external digitization partners
- Develop access strategy for effective dissemination of digitized books and texts

Resources

- Program Coordinator – Head, Information Resources
- Information Resources Unit
- Archival and Special Collections
- Information Technology Services (ITS)
- Academic Liaison Unit
- Selected Academic Departments & Faculty

Consortia Licensing Initiatives

Goal

Capitalize on the lobbying power present in library consortia. Ensure scholarly communications issues are present in setting directions, policies and strategies for various library consortia involved in the licensing of electronic resources.

Objectives

- Advocate for change in the scholarly publishing community and forums
- Seek licensing terms for electronic resources that advance open access principles
- Adhere to strong principles in negotiation and licensing of published material

Resources

- Program Coordinator – Head, Information Resources
- Information Resources Committee
- OCUL IR Committee
- Canadian Research Knowledge Network (CRKN)
- Canadian Association of Research Libraries (CARL)

Best Practice Sites and Scholarly Communications Resources

Create Change (Developed by ARL and SPARC - Catherine's favourite)

<http://www.createchange.org/index.html>

Libraries and Scholarly Communication – University of California Libraries

(examples of outreach toolkits and talking points for faculty discussions)

<http://libraries.universityofcalifornia.edu/scholarly/>

Reshaping Scholarly Communication - University of California, Office of Scholarly Communication

<http://osc.universityofcalifornia.edu/>



[PRINTABLE VIEW](#) | [LOGIN](#)

Digital Collections Internal Grant Program -- Year 2
([Learn More](#))

[Public Schol Comm Site](#) | [Overview](#) | [Liaison Tools](#) | [News and Events](#) | [Schol Comm Collaborative](#) | [Staff Schol Comm Site](#)

(kw/lw/cs 12/06)

Libraries Staff Sites

[Staff Home](#) | [About the Wiki](#)

Divisions & Units

[AP](#) | [AS](#) | [ASC](#) | [Business Office](#) | [CDM](#) | [Communications](#) | [FOM](#) | [HR](#) | [HSL](#) | [IADS](#) | [IT](#) | [LEO](#) | [MINITEX](#) | [SED](#) | [TS](#)

Projects & Key Information

[Copyright](#) | [Events Blog](#) | [Governance Committees](#) | [Hours](#) | [LRC Implementation Patron Information](#) | [Poster Printing](#) | [S2A2](#) | [Schol Comm](#) | [Security Committee](#) | [Travel](#) | [UDC](#) | [Verde](#)

Communications

[Directories](#)
[Libraries ListServ Lists](#)
[Monday Memo Archives](#)

Human Resources

[Libraries Human Resources](#)
[University Office of Human Resources](#) | [University HR Self-Service](#) | [Payroll Reports](#)
[Travel](#)

Emergencies

[Incident Report Form](#)
[Personal Safety Training Resources](#)
[Emergency Procedures](#)
[Loss of Access to System Resources](#)

Planning

[Planning & Budget](#)
[Project Charters](#)
[Computer Requests](#)
[LibQual+](#)
[Libraries Statistics](#)

Libraries Facilities

[Facilities and Operations Management \(FOM\)](#)
[Meeting Rooms](#)
[Training & Instruction Facilities](#)

Scope

The Scholarly Communication Collaborative will have a two-pronged focus: develop and implement as appropriate a coordinated plan for the University Libraries to inform and educate its staff; and recommend appropriate approaches for engaging the campus community in the policy and practice issues that surround the process of scholarly communication. The Collaborative should focus efforts on the dissemination or sharing of scholarly works. The creation aspects of scholarly communication, such as the development of collaborative tools, are out of scope for this group.

Context

Scholarly communication first entered our professional consciousness in the 1990s, centered on the topic of rising serials prices and their impact on libraries' budgets. Our lexicon was one of problems, crises, and the clear definition of an enemy. Several years experience working in this arena has led to a more informed, broader perspective – part of a natural evolutionary process. Formerly we focused almost exclusively on the economic case, with some real successes. A number of faculty and administrators did become outraged and engaged. But many also told us the system works just fine for them; publishers told regulators that the real problem is under funding of universities. To achieve a marked, sustained impact on scholarly communication, librarians need to be advocates for faculty and administrative action. Scholars must be the new face of this effort and focus on how the present system restricts access to their scholarship. In other words, this is no longer just a library problem of serials inflation (with a spillover effect of reduced monograph purchases), but a series of scholarly communication issues and opportunities owned by scholars, their campuses and their societies. As librarians, we are uniquely positioned to serve as educators and advocates for influencing the development of new forms of scholarly communication. Our expertise with traditional publishing, digital technologies, and intellectual property, coupled with our liaison model makes us well situated to provide leadership for reshaping scholarly communication.

We still recognize access problems caused by continued high subscription costs, changing copyright laws, and the licensing of access. Current publishing models are still not economically sustainable. But there is a growing awareness of new opportunities for more sustainable models through ongoing advances in technology. There is genuine hope that the symbiotic relationship between higher education institutions, scholarly societies, and commercial publishers, which could previously be characterized as tense and antagonistic, will realize more cooperative and beneficial partnerships in the future.

Even as we envision a future where productive partnerships are the norm, we know the road ahead will be bumpy for a while. We are trying to change systems that are largely out

Events & Exhibits

- Events Planning Depot
- Exhibit Process & Policy
- University Events Calendar

of the control of any one campus. The recent ARL / ACRL Institute on Scholarly Communication was designed to prepare participants to be educators and advocates, and to develop sustained campus programs informed by the sharing of peers' best practices, rather than a series of singular efforts that have limited impact. We need to develop collective action in arenas such as e- resource licensing and educating faculty on author's rights. While acting locally is an important component; we must also spend some energy on legislative advocacy. Through the cumulative effect of our actions we can accomplish infinitely more than we could alone.

Sponsors

- Linda Watson, Director, Health Sciences Libraries
- Karen Williams, AUL for Academic Programs
- Charles Spetland, Collection Development Officer; Liaison to the Collaborative

Initial Co-chairs

- Dan Donnelly, Copyright Information & Education
- Jim Stemper, Collection Development

Purpose / Focus

- Collaborative members will develop deeper expertise in scholarly communication; will share knowledge and provide support and leadership to colleagues
- Define baseline expertise that all liaisons should possess
- Plan, develop and deliver professional development programming in scholarly communication to all Libraries staff
- Inform and influence collection management policies and practices in support of sustainable models of scholarly communication
- Coordinate efforts with University Digital Conservancy, particularly around related policies and educational efforts
- Communicate regularly with Libraries staff
- Raise campus awareness of scholarly communication issues
- Involve the Senate Library Committee in the efforts of this group
- Assess need for and develop, revise, update and maintain web sites, brochures and other publications related to scholarly communication and intellectual property
- Facilitate partnerships with UM faculty, students, campus offices, CIC libraries, and other partners as appropriate
- Assess need for, develop and deliver campus programming in partnership with campus stakeholders
- Develop a mechanism for on ongoing environmental scan and inventory of issues, including attention to campus priorities, interests, and needs
- Create a three year plan for a campus scholarly communication program using a collaborative process for designing goals; update and revise plan as necessary, to reflect what we learn from environmental scans

Program Priorities 06-07

- Develop librarians with expertise in author's rights issues specifically, and scholarly communication broadly, so they feel confident to work with faculty and graduate students in this arena.
- Develop sharable, reusable materials for librarians to use with faculty and students
- Encourage faculty to manage the copyrights in their work. Provide the information resources and tools to do so, including a publishing infrastructure that encourages innovative dissemination of their work through the University Digital Conservancy. This campus education program is envisioned as happening at the department level, through liaisons and Collaborative members
- Begin development of a campus program plan, which includes identification of program priorities and development of timelines.
- Communicate regularly with Libraries staff through the Monday Memo, an established wiki, and other means as appropriate

<https://wiki.lib.umn.edu/ScholarlyCommunicationCollaborative/Charge>

Timeline

- Professional development program on author's rights completed by mid-February to allow librarians time to work with faculty and graduate students before end of spring semester.
- Plan and timeline for author's rights awareness program and materials for librarians to use completed by mid-February

Collaborative Members

Brent Allison
Laura Dale Bischof
Katherine Chew
Linda Eells
Kris Fowler
Laurel Haycock
Beth Kaplan
Charles Spetland

Time Commitment

Collaborative members should plan to spend 2-4 hours per week on this work in the initial phase.

Stakeholders

- Academic Programs Directors
- Academic Programs staff
- Health Sciences Libraries staff
- Collections Council
- Libraries Organization Development
- University community

Budget

For FY 06-07 there is some funding to support staff development efforts.

Related Issues / Projects

- University Digital Conservancy
- Copyright Information & Education Initiative
- Mellon funded project with CLA
- EthicShare project
- Sciences Assessment project
- Rights Management

Collaborative Review

- The initial co-chairs agreed to lead this effort for the first six months, to get the program up and running. The sponsors will consult with the group and the co-chairs and appoint an ongoing chair(s) by April 30, 2007.
- After this first six-month review, the Sponsors will conduct a review of the Collaborative at the end of each fiscal year to determine if any changes need to be made to the group membership, chair(s), and/or its charter.

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<http://staffweb.lib.washington.edu/SchComm/charge.html>

Scholarly Communications Task Force

Charge

Introduction:

The system of scholarly communication is a complex matrix of intellectual property, publishing practices and economics, legislative action, technological developments, and academic expectations for tenure, promotion, research, and publication. Scholarly communication has become an increasing concern of the Libraries and the University administration as it is apparent that the Libraries' ability to acquire and provide access to information is intimately tied to the healthy functioning and interplay of the elements within this system. To support the Libraries' role in the system and to be a proactive agent in facilitating change, the Scholarly Communications Steering Committee has been established.

Charge:

- Develop strategies and actions, set timelines, and determine outcomes that will advance the Libraries efforts to facilitate change.
- Track local, national, and international developments within the broad area of scholarly communications.
- Coordinate the Libraries educative efforts in the area of scholarly communications. Stimulate discussion, generate supporting material and develop venues for communication and education.
- Seek collaborative ventures internally and with other institutions.
- Explore and identify possible high impact initiatives that the Libraries could either launch or support, such as the establishment of a competitive scholarly electronic journal, participation in an open archive project or the creation of an institutional repository.
- Identify potential faculty partnerships for demonstrations/discussions of alternatives to traditional scholarly communication venues with an eye towards implementing local experiments.
- Advise the Director, Information Services, Collections, and Scholarly Communication on actions and initiatives that should be taken and resources needed.
- Establish working groups as necessary to carry out the work of the committee.
- Consult broadly with individuals, groups, and units as needed.

[SC Home](#) | [Staffweb Home](#) | [Libraries Gateway](#) | [SC Gateway Page](#)

Position Descriptions



Cornell University Library

Assistant/Associate University Librarian for Scholarly Communications and Collections

Cornell University Library (CUL) seeks a dynamic and knowledgeable manager to provide creative leadership for the Library's innovative scholarly communications and renowned collection development programs. Reporting to the University Librarian, the successful candidate will participate in system-wide stewardship, resource allocation, policy development, planning, and fundraising; serve on the Library's senior management team; and chair a cross-disciplinary and cross-functional executive advisory group. The successful candidate will initiate sustainable collaborative relationships with other libraries and institutions and will lead the Library's partnerships with scholars and scientists in the creation and dissemination of knowledge.

From its leadership in conceptualizing collection development over 25 years ago, through pioneering digital projects such as Making of America, to the present commitment to developing new channels for scholarly communication, Cornell University Library has initiated and supported thoughtful transformation of collections, services, and resources that serve and advance instruction, research, and scholarship. For 18 years, the late Ross Atkinson provided inspiring leadership in the development of Cornell's internationally acclaimed collections, now nearing 8 million volumes. The Cornell University Library now seeks an energetic and creative colleague to shape and implement a shared vision of the Library's role in the provision of information and the advancement of knowledge through varied means, including material and electronic collections.

The AUL for Scholarly Communications and Collections will be responsible for planning, organization, policy development, and implementation of the Library's scholarly communications and collections programs.

- Provides policy, content, and strategic direction for the Center for Innovative Publishing, which includes numerous entrepreneurial electronic publishing and open access repository activities such as Project Euclid, DPubS, and DSpace.
- Serves as the Library's primary spokesperson for collections and scholarly communications to faculty, students, alumni, and administrators, and forges collaborations with academic departments and programs. Works with academic departments to assess the impact of proposed new academic emphases on the collections budget and aligns resources effectively with academic priorities.
- Leads the Library's collection development and management programs, including the work of 45 subject specialists. Oversees the selection of materials in a wide variety of formats and languages. Engages with the information provider community to develop the broadest terms of access to serve the academic user community.

Cornell University is an equal opportunity, affirmative action educator and employer.

- Administers directly a materials budget of over \$12 million and coordinates a total materials budget of \$17 million for the 20 libraries comprising the Cornell University Library, including resources from the Weill Cornell Medical Library, the Cornell Law Library, the Johnson School of Management, the School of Hotel Administration and the contract college libraries (agriculture, applied social sciences, labor relations, life sciences, and veterinary medicine).
- Depending on qualifications of the successful candidate, may oversee the Library's Special Collections, including the University Archives and the Division of Rare and Manuscript Collections.
- Works collaboratively and library-wide with unit, division, and functional heads in all areas to develop strategic directions for collections in an era of increasing digital access, changing modes of information dissemination, and growing interlibrary interdependence.
- Participates in recruiting and hiring librarians with collections and scholarly communications responsibilities; oversees their training and evaluation in these areas. Fosters professional development of librarians and staff to meet the challenges of a rapidly changing environment.
- Represents the Cornell University Library on local, regional, university, national, and international committees and initiatives in the areas of scholarly communications and collections.

Required: MLS or appropriate graduate degree. Significant experience in a major research university with at least five years in research library collection development and/or scholarly publishing/communications; significant experience in digital library programs and/or electronic publishing. Deep knowledge of current trends in scholarly communications and collection development, with strong expertise in digital collection development. Experience in increasingly responsible positions with demonstrated excellent administrative abilities including leadership, effective supervisory and budgetary skills, and commitment to diversity. Ability to effect change in a challenging and complex environment. Excellent communication and interpersonal skills; enthusiasm for collaborative work. Ability to nurture effective and positive relationships with faculty.

Desired: Ph.D. Experience in the innovation and promotion of new technologies and services. Experience in management and planning for archives and special collections.

Background: Cornell University is an Ivy League comprehensive research university located in Ithaca in the scenic Finger Lakes region of upstate New York. The town and university offer a unique cosmopolitan and international atmosphere in a beautiful natural setting of waterfalls, gorges, and lakes. The university comprises 14 schools with 2600 faculty members and 20,000 students enrolled in undergraduate, graduate and professional schools. The Cornell University Library is a vigorous professional organization of 468 staff with a strong track record in innovation and service quality. It consists of 20 libraries, including a nearby high-density storage facility with a capacity of 6.8 million volumes. It contains nearly 8 million printed volumes, 62,000 current serials, 378,000 networked electronic resources, and rich materials in other formats. Ranking 9th among 113 North American academic library members of the Association of Research Libraries, the Library was a recipient of the Association of College and Research Libraries' Excellence in Academic Libraries Award in 2002.

Scholarly Communication Officer

Duke's newly created Scholarly Communication Officer will coordinate scholarly communication activities for Duke University by taking a leadership role in building a scholarly communications program and educating the university community about intellectual property issues and their impact on the nature and conduct of scholarly inquiry and instruction. This position reports to the Director of Academic Technology and Instructional Services. It is a three-year term appointment with the possibility of renewal.

Responsibilities

- Directs copyright activities for the university's libraries and serves as copyright advisor to the university community; serves as the libraries' primary resource on fair use and other copyright issues; assists with obtaining copyright permissions.
- Sustains development of the Libraries' scholarly communication Web site; organizes educational forums on scholarly communication topics as they relate to academia and to research libraries.
- Represents the interests of Duke University Libraries and the university community in the development of university policy on copyright, the public domain, user privacy, and other scholarly communication issues.
- Monitors national scholarly communication policy issues, informs and educates the Duke community of their significance and participates in campus efforts to ensure that scholars, students and libraries in the digital environment retain the full benefits of the current and evolving intellectual property regime.
- Works in close consultation and cooperation with university's Office of General Counsel, the Office of Information Technology, academic departments, and senior university administrators on issues and programs related to scholarly communication.
- As appropriate, coordinates work with the Triangle Research Libraries Network on issues and programs related to scholarly communications.
- Performs other related duties incidental to the work described herein.

POSITION DESCRIPTION

OFFICIAL TITLE	Scholarly Communication Librarian
TITLE CODE	
WORKING TITLE	Scholarly Communication Librarian
POSITION CODE	
APPOINTMENT STATUS	Faculty, Tenure-track, Annual, 100% FTE
ORGANIZATION AND Outreach and LOCATION Holland Library, located at	This position is part of Public Services and is located on the 4 th floor of the Pullman campus of Washington State University.
BASIC FUNCTION	The primary responsibility of this position is to formulate plans for moving the WSU Libraries forward in meeting the challenges of changing modes of scholarly communication.
REPORTS TO	Assistant Dean, Public Services and Outreach
SUPERVISORY RESPONSIBILITY	This position does not supervise or lead any other positions.

DUTIES AND RESPONSIBILITIES:

A. Scholarly Communication (70%):

1. Monitor and report on current developments in scholarly communication, open access, institutional repositories, and related legislative initiatives.
2. Inform library faculty, research faculty, graduate students, and University administrators of changes in scholarly communication and ways in which they can contribute to new and evolving methods for distribution of research results.
3. Develop educational opportunities for sharing information about scholarly communication, open access, institutional repositories (specifically the WSU Research Exchange), and legislative actions that might affect these issues.
4. Develop and maintain the Libraries Scholarly Communication Website and assist in the development of Web-based information for the Research Exchange.
5. In collaboration with the Libraries Systems office personnel and other library staff, develop policies governing deposit of content in the Libraries repository, the WSU Research Exchange.
6. Help develop procedures and workflows to expedite content deposit in Research Exchange.

7. Serves as official WSU Libraries' representative to institutional, regional and national organizations at the request of Assistant Deans, or Dean.

B. Professional/Scholarly Activities (20%)

1. Keeps current on trends and developments in the areas of scholarly communication, open access, institutional repositories, and related areas by reading professional literature, monitoring appropriate email lists, participating in professional organizations and committees, and attending workshops, institutes, seminars and conferences at local, state, regional, national and international levels.
2. Conducts research in areas of library and information science related to this position or other scholarly subjects for potential publications and /or presentations.
3. Share with library colleagues and department faculty and staff relevant information gained from professional activities and use that knowledge to improve departmental operations.

C. Service to the Library, University and the Public (10%)

1. Serves on library working groups, search committees, standing committees, and ad hoc groups as appropriate.
2. Serves on WSU university committees and task forces.

SIGNATURES BLOCK

This position description describes the essential functions and qualifications for the position. This document does not exclude an opportunity for modifications consistent with providing reasonable accommodation. This position description is not a contract. Your signature indicates that you have read this position description and understand the essential functions and qualifications of the position.

Employee Date

First-Level Supervisor Date

Second-Level Supervisor Date

Scholarly Communication Web Sites



[➤ Publisher and Journal Profiles](#) [➤ Model Copyright Clauses](#)

UNIVERSITY of CALIFORNIA
Office of Scholarly Communication

[Search](#) | [Site Map](#)

Regain Control of Scholarly Communication

The University of California's scholars and their partners across the academy are reshaping scholarly communication. Understand the challenges, the crises they have produced, and opportunities to address them.

[View a summary...](#)



Keith Yamamoto
Professor of Cellular and Molecular Pharmacology, UC San Francisco

UC's eScholarship Repository can be seen as a call to action, challenging scholars to use its services to regain control over the distribution of their work.

Current News & Issues

- [Proposal for a UC Open Access Policy](#)
- [UC libraries report on value-based journal pricing](#)

The Facts

Current scholarly publishing models are not economically sustainable. Researchers and students have access to a diminishing fraction of relevant scholarship. But remedies and alternatives are being developed and tested. Learn about:

- [The economics of publishing](#)
- [Alternatives for scholarly communication](#)

UC Responses

- [eScholarship Publishing Initiatives](#)
- [Systemwide Faculty Committee](#)
- [Systemwide Administrative Committee](#)
- [UC Libraries' Program](#)
- [Office of Scholarly Communication](#)

TAKE ACTION

Scholars influence the scholarly communication system to increase the impact and benefit of your scholarship.

- **Review and discuss the UC Open Access Policy proposal**
- **Manage your intellectual property**
 - [Retain certain copyrights](#)
 - [Maximize the reach and impact of your work](#)
- **Use alternative forms of publishing**
 - [Deposit your work in open access repositories](#)
 - [Submit to open access journals](#)
- **Support sustainable scholarly communication**
 - [Wield your influence with publishers](#)
 - [Promulgate society publishing best practices](#)
 - [Support publishing experiments and new business models](#)

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Catalogs & Databases	Libraries & Collections	Library Services	About	Donate to the Library

About the Libraries

Scholarly Communication

"Scholarly communication" describes both the dissemination of and access to scholarship and research in a variety of formats and states of completion, such as published books or journal articles, research results and data sets, and drafts of papers. In recent years the concept of scholarly communication has also begun to connote faculty collaborating with publishers, librarians, and others, in solving the grievous problem of the inability of libraries to keep up with the ever-increasing volume and cost of scholarly resources.

The UC Davis General Library joins many U.S. academic libraries which partner with faculty to address the scholarly communication challenges facing universities. The issues of copyright, intellectual property, journal costs, and library budgets all affect the ability of academic institutions to provide access to research results and instructional materials.

UC Davis General Library

Faculty Action and Copyright

Faculty play an influential role in addressing the issues and identifying potential solutions since they create, edit, and review research data and benefit significantly from publication of journals and monographs.

The following white papers are the product of the [Academic Council Special Committee on Scholarly Communication](#) (SCSC) under the collective title **Responding to the Challenges Facing Scholarly Communication**.

[Evaluation of Publications in Academic Personnel Processes](#) (draft 12/05)

[The Case of Journal Publishing](#) (draft 12/05)

[The Case of Scholarly Book Publishing](#) (draft 12/05)

[Scholarly Societies and Scholarly Communication](#) (draft 12/05)

[The Case of Scholars' Management of Their Copyright](#) (draft 12/05)

[Proposal for UC Faculty – Scholarly Work Copyright Rights Policy](#) (draft 12/05)

Intellectual Property Information

The Library's Copyright & Intellectual Property web site provides information and guides to UC Davis, University of California, United States, and international policies and law on the topics of copyright, patents, trademarks, and licensing. This web site also provides links to the related topics of scholarly electronic publishing initiatives and the scholarly communication challenges facing universities. The UC Davis General Library provides guidance on copyright for faculty [posting articles to a website](#), and [protecting copyright for published articles](#).

Librarian Subject Specialists

Librarian Subject Specialists are assigned to each discipline and provide a wide range of services, including collection assessment and development, specialized reference consultation, and introductions to library resources for classes with intensive library projects.

University of California

Reshaping Scholarly Communication

Through the California Digital Library's web site, the Office of Scholarly Communication, coordinates the UC libraries actions associated with scholarly publishing and presents options for campus librarians and faculty to consider. Campus librarians are available to discuss options for scholarly publishing, such as the evolving [eScholarship](#) program.

eScholarship Repository

The California Digital Library hosts the eScholarship repository, the institutional repository for the UC System. Here you'll find papers, postprints, journals and seminar series from across the UC system. The mission of eScholarship is to facilitate and support scholar-led innovations in scholarly communication by providing an alternative publishing mechanism. All papers are searchable through the site and organized by campus, department or research unit. Explore what's happening at [UC Davis](#).

A New World of Scholarly Communication

In the November 7, 2003 Chronicle of Higher Education, retired UC President Richard C. Atkinson discussed the future of university libraries and the mushrooming costs of academic publications which faculty and higher education leaders must address to ensure the future viability of scholarly communications.

Campus Library Scholarly Communication Programs

Describes the challenges and strategic plans related to managing campus library collections. Contains information on collection management strategies from libraries at Berkeley, Davis, Irvine, Los Angeles, San Francisco and Santa Barbara.

Other Academic Research Libraries



Scholarly Communication Crisis

University of Connecticut Faculty Senate Resolution on Scholarly Communication Approved February 9, 2004

Background	Impact	Action
What is the Scholarly Communication Crisis?	What the Crisis Means to UConn	What Faculty Can Do To Help
Reading List	Journal Price Inflation at UConn	Policies and Proposals
Other Sites	Other Journal Price Studies	Open Access and Other Alternative Publishing Projects
Legislative Updates	Book Price Studies	What Librarians Can Do

What is the Scholarly Communications Crisis?

What is the scholarly communication crisis? It is the loss of access to the scholarly research literature, as the rising cost of journal subscriptions far out-strip institutional library budgets. Each year libraries can afford to subscribe to fewer and fewer journals. Over the last 15 years, the price of research journals has risen over 200% (compare with the Consumer Price Index, up 57% over this same period). Consequently, academic libraries are subscribing to fewer and fewer titles - and slashing book buying as well (see ARL's [The Impact of Serial Costs on Library Collections](#)). The inflation is due to a number of factors; most prominently, commercial publishers controlling an increasing percentage of titles, at the expense of scholarly societies and university presses. Profit margins for commercial publishers typically are at least 20% - with the profits coming from university libraries. Mergers and acquisitions exacerbate the trend, to the point where five publishers now produce over 50% of the science journals received at the University of Connecticut.

In short, the current system of scholarly publishing is unsustainable. Unable to keep up with the annual price

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GATEWAYLIBRARY
CATALOGSONLINE RESEARCH
RESOURCESLIBRARY
SERVICESLIBRARY
HELPSITE
MAP

SCHOLARLY COMMUNICATION



ABOUT THIS SITE

SCHOLARLY COMMUNICATION CONTACTS

GLOSSARY

THE ISSUES

COST OF JOURNALS

COPYRIGHT

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PUBLISHING
MODELSWHAT the U of
ILLINOIS IS DOING

WHAT YOU CAN DO

ARTICLE
PLACEMENT

SC NEWS

LINKS

Search site

SCHOLARLY COMMUNICATION MATTERS

The University Library has developed this website as a resource for the University of Illinois community. It is intended to encourage dialogues: between faculty and publishers, between faculty and the library, between faculty and their scholarly societies, and within departments. Why is this discussion important?

- ▶ **Scholarly communication is in flux.** The web publishing revolution has made it possible to disseminate research more quickly and inexpensively than ever before. At the same time, some publishers have raised prices to a point where libraries are having to make incredibly difficult budget decisions.
- ▶ **Scholarly communication is valuable.** In addition to intellectual value, your research has economic value. Even though you provide it free of charge to publishers, it can be packaged and sold for great profits. More than ever before there are alternative publishing options, such as open access, for you to consider that will give your work greater visibility.
- ▶ **Scholarly communication is the lifeblood of the university.** The dissemination of knowledge is an imperative of land grant universities like Illinois. Anything that threatens access to, or the free flow of, research and ideas is a threat to the health of the entire system.

ISSUES IN THE SPOTLIGHT

**THE
OPEN ACCESS
MOVEMENT**
**How does OA
work? Are OA
journals being
read?**

**SKYROCKETING
JOURNAL COSTS**
**What is the
impact on
scholarship and
libraries?**

**MONOGRAPH
PUBLISHING**
**Do you need a
book to gain
tenure in the
humanities?**

TOP STORIES

- * [U of Illinois passes Author Rights resolution](#)
- * [Local editor of prestigious journal works to open up access to the journal's content](#)
- * [University Library and CITES announce the opening of the IDEALS institutional repository](#) IDEALS offers long-term, online access to the intellectual output of the University of Illinois. [Find out more...](#)
- * [Issues in Scholarly Communication weblog launched](#) Paula Kaufman, University Librarian, has launched a new weblog focusing on scholarly communication issues. It replaces her email newsletter. [Read the blog](#)
- * [More news...](#)



University of Illinois at Urbana-Champaign
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Comments/Questions?

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Scholarly Communication

Symposium | The Issues | Get Involved | Links

The Crisis in Scholarly Communication

The Issues

The publishing system enabling scholars to distribute research results to a wide audience is in danger of collapse. Crushing price increases for peer-reviewed journals have far outpaced meager growth in library budgets. The result, within a few years, could be drastic reductions in library purchases of books, journals, and digital resources in every academic field. Scientists, researchers, and scholars will lose access to the information critical to their research and their careers.

The purpose of this web page is to provide information on this crisis, the reasons behind it, and possible responses. UNM faculty, staff, and students and staff can learn what the university is trying to do and how they can take part.

Information available on this site:

- [Annual Symposium](#)
- [Background on the crisis](#)
- [Introduction to the Open Access movement](#)
- [Open Access at UNM](#)
- [Promotion, Tenure, and Open Access](#)
- [What you can do](#)
- [Links to further information](#)

Background on the Crisis

Scholars depend on a communications system to distribute their research and commentary to colleagues. In another decade or so, that system could be crippled or destroyed.

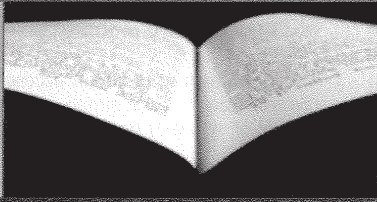
Since the late 1980s, academic publishers have increased prices of scholarly journals far faster than libraries have been able to increase their budgets. If this situation continues, libraries around the world will be forced to cancel hundreds of journal subscriptions and book purchases in the coming years. Researchers will lose access to the latest findings in their field, because the institutions where they work won't be able to afford the prices publishers impose.

Consider the following information from the Association of Research Libraries, available at www.createchange.org:

- From 1987 to 1999, the U.S. consumer price index increased by a cumulative total of 52%. The unit cost of academic library journal subscriptions increased 206%.
- During this period, academic and scientific publishers achieved profit margins of up to 40% per year - far more than the 5% annual average for the publishing industry as a whole.
- To compensate for increasing journal prices, the average U.S. research library purchased 26% less books in 1999 than it did in 1986.
- By 2015, if current trends continue, the average research library will have to reduce its number of annual journal subscriptions by as much as 45% compared to 1986 levels. For most libraries, this will mean hundreds less titles on the shelves or accessible via the Internet.

NCSU LIBRARIES

- ▾ SEARCH THE COLLECTION
- ▾ BROWSE SUBJECTS
- ▾ SERVICES
- ▾ LIBRARY INFORMATION
- ▾ COMMUNITY
- ▾ NEWS & EVENTS



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☰ - Most Used - ▾
FAQ | Site Index

📖 Services
🔍 Get Answers Now

SCHOLARLY COMMUNICATION AND OPEN ACCESS PUBLISHING

An Overview of the Scholarly Communication System

Scholarly communication is the system whereby researchers and educators communicate their ideas to peers and others in the scholarly community, traditionally through established mechanisms such as refereed professional journals. It includes the creation, evaluation, distribution, and preservation of the output of researchers and scholars. It is the essential force that gives life and energy to the university, and libraries play a key role in the process as they provide the access to and preservation of scholarship without which further scholarship would be impeded.

The System in Peril

The scholarly communication crisis refers to the current and future erosion of access to the scholarly literature resulting from the inability of institutional library budgets to keep pace with the rising cost of journal subscriptions. For more information, see:

What is the scholarly communication crisis?

What can be done? What is being done?

One response to the scholarly communication crisis is open access publishing. For the past several years, open access publishing initiatives have been proposed to increase the visibility of scholarly output. ***In its purest form, open access publishing provides immediate public access to scholarly publications on the Internet, whether in the form of open access journals or through some form of archiving.*** Charles W. Bailey, Jr., of the University of Houston's University Libraries, has published a comprehensive bibliography of open access literature and key open access concepts:

- Key Open Access Concepts (concise)
- Open Access Bibliography: Liberating Scholarly Literature with E-Prints and Open Access Journals (expanded)

Several statements advocating for open access in scholarly communication have been promulgated:

- Principles/Statements

Following these principles, a variety of implementations now exist. Some are pure forms of open access; others are "hybrids," such as business models that delay access for a period of time or provide only partial open access. Examples:

- Repositories

Additional Resources:

- 📖 For Faculty
- 📖 For Librarians
- 📖 For Students and Researchers



Scholarly Communications Issues

[Libraries Home](#)[Collection Development](#)[Home](#)[Library Catalog](#)[Databases](#)[Forms](#)[Help](#)[Services](#)[Branches](#)[Libraries A to Z](#)**AskUsNow!**

Scholarly communications involve complex dynamics among intellectual property, the economics of publishing, technological developments, legislative action, and the academic culture for research, publication, promotion, and tenure. A number of factors, especially the increasing commercialization of scholarly publishing and dramatic increases in journal costs, have decreased scholars' access to essential research resources all over the world. Each year fewer scholarly publications are available to scholars worldwide. Universities are acquiring a smaller portion of available journals and monographs, even though the production of scholarly information is growing exponentially. Faculty members publish articles that universities buy back at premium prices.

Administrators, scholars and librarians are pursuing options for "reclaiming" the research produced in the academy. National information associations, scholarly societies, librarians, and researchers are experimenting with alternatives to make scholarly research easily accessible to scholars, their students, and to the world at large. Their efforts are resulting in the emergence of systems for collecting and disseminating peer-reviewed articles online and growth in personal web sites that contain faculty publications. Libraries are becoming scholarly publishers. Universities are creating digital repositories of the intellectual work of their faculty and students. The following links connect to associations, projects, and visions illustrative of sharing scholarly communications for the common good.

[UT Scholarly Communications Committee](#)

[UT Blog: Scholarly Communication Issues @ the UT Libraries](#)

Associations

[Association of Research Libraries Office of Scholarly Communications](#)[Council on Library and Information Resources](#)[Digital Library Federation](#)[SPARC - Scholarly Publishing & Academic Resources Coalition](#)

Raising Awareness

[Changing Scholarly Publishing: A Guide for Graduate Students \(brochure\)](#)[Scholars Under Siege: Changing our Scholarly Publishing Culture \(brochure\)](#)[ARL Brochures](#)[The Book & the Scholar: Celebrating the Year of the University Press](#)[Talking Points for Discussions with Faculty and Graduate Students](#)[University of Tennessee Faculty Senate Scholarly Publishing Resolution, May 1, 2006](#)[Cornell University Library Issues in Scholarly Communication](#)[Scholarly Communication: Academic Values and Sustainable Models \(UC Berkeley Center for Studies in Higher Education\)](#)[Libraries & Scholarly Communication \(University of California Libraries\)](#)[Off the Page and Onto the Web...Essays on Scholarly Publishing @ UT](#)[Scholarly Communications \(Boston College Libraries\)](#)[Scholarly Publishing & The Common Good: Changing our Culture \(University of Tennessee symposium\)](#)

Intellectual Property

[Copyright Information for University of Tennessee Faculty](#)[University of Tennessee Office of the General Counsel](#)[Know Your Copyrights \(Association of Research Libraries\) **New!**](#)[Creative Commons Licenses](#)[University of Minnesota Copyright Information and Education](#)[The University of Texas Office of the General Counsel](#)[North Carolina State University Scholarly Communication Center](#)

Open Access

[Framing the Issue: Open Access](#)[Budapest Open Access Initiative](#)[Directory of Open Access Journals](#)[Open Access News \(Blog edited by Peter Suber\)](#)[Tools for Open Access Publishing](#)[BOAI Open Access Journal Guides](#)[Open Journal Systems \(free software for journal management and publishing\)](#)

Proposals & Principles

Copyright Web Sites



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Home
Find...
Library Services
Research
Assistance
About the Libraries
Need Help?
Go to a Specific
Library

My Account
Interlibrary Loan
Request Materials
For Students
For Faculty & Staff
Community & Visitors
Disability Services

ASU Home
My Account
Search this Site

Catalog Quick Search: Keyword : for Go



How to Retain Ownership of Your Copyright when Dealing with Publishers

(A Very Short Guide to Negotiation)

The term "negotiation" may be a bit formal, and may bring to mind images of legally sophisticated advocates vying for advantage over one another by inserting arcane phrases into a complex document. Rest assured that such a scenario is not being referred to here. Nevertheless, in seeking to retain some or all of your copyright when submitting a manuscript for review and publication, you are entering a negotiation, and ASU Libraries offer this succinct guide to help you be successful in your dealings with publishers.

First and foremost, understand that you are in control. You are not begging the publisher for a favor, a hand-out or a concession. Your manuscript is your intellectual property – you own it. The publisher is asking you to give up ownership of your intellectual property so that the publisher can turn around and sell that property to its subscribers. The publisher is gaining a major benefit in obtaining your work for free, so you are in an excellent position to ask to retain certain rights. In fact, all the publisher needs in order to publish your work is your permission. You do not need to transfer all your rights to the publisher.

A Note on Individual Rights : "Copyright" is actually a group or "bundle" of rights. An author has complete discretion over these rights and can transfer all or part of them, or even just components of the rights themselves. A full discussion of copyright is available in F.A.Q. and will soon be available as a podcast on this website.

A successful negotiation with a publisher can be a very easy process and most of the time it will follow the same pattern. Once your article has been peer reviewed and accepted for publication, the publisher will send you a letter along with a legal document for you to sign (usually called an "assignment of copyright" or "transfer of copyright"). You contact the publisher and ask to retain certain rights. A back and forth discussion will ensue, as you try to understand each other's needs and concerns, and finally, an acceptable agreement is reached and the final draft signed.

The important steps in this process are preparation before contacting the publisher, the actual back and forth discussion and closing the deal with a signed writing.

Preparing

- **Understand the basics of copyright, so that you know what you own and what you can transfer in a copyright agreement. [See [Copyright](#) and [Copyright and Intellectual Property Glossary](#)]**
- **Make a list of the things you want and the things you need.**
- **Consider how your requests affect the publisher.**

The most important step in any negotiation is preparation. To be successful know what you need (and what you cannot concede), and what you want (and what you're willing to concede); then consider these things from the publisher's perspective. It is helpful to reduce these considerations to writing because the process focuses your thoughts and can often result in finding that your initial

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perception of your goals isn't entirely accurate, or that your goals change with further consideration.

What you need depends on what definite plans you have for your work after publication; these are things that are "deal-breakers" meaning that if a publisher won't agree to them you will be willing to walk away from that publisher and find another avenue for publication, or maybe decide not to publish the article for the time being. For instance, if you are working on a compilation of your writings that will form a textbook, then you need to retain the right to use the article as part of a derivative work or compilation. If a publisher is unwilling to concede these things, can your textbook survive without this particular material, or is the textbook more important than the separate publication of this single article? If the textbook is more important, then this is a true need and a deal-breaker.

What you want depends on potential uses for your work in the future. Maybe it would be useful to post your article to a departmental or institutional repository to share with your colleagues, though the department doesn't require it. In order to do this, you must retain at least a limited right to republish and/or distribute the work. You can seek to retain the necessary rights and if the publisher will not agree, then you can still concede the issue and move on to other areas of the negotiation.

Consider also what the publisher needs: most publishers are in business to make money, while others exist to disseminate scholarly research but must still pay for overhead. So when you ask to retain certain rights, it's important to know ahead of time how this will affect the publisher's revenue stream. For instance, if you are seeking to retain the right to post your article to a departmental or institutional repository to share with your colleagues, a publisher may worry that permitting free, unlimited access to the article in such a way will detrimentally affect sales of their journal. Knowing this will help you in later discussions with the publisher.

Discussing

- **Where possible, have in-person or telephone discussions. Correspondence works, but it is more time consuming and lacks some of the advantages of verbal conversations.**
- **Frame your requests in a way that explains your needs and offers to work with the publisher to find an acceptable agreement.**
- **Remember to barter.**

The most important thing to remember is that communication is the key to success. Face to face communication is best, because individuals engaged in discussion can see body posture and facial expressions, and hear vocal tones and inflections that convey information subtlety. Plus, when meeting face to face, there is a natural tendency for the parties to try and resolve all of the outstanding issues at the meeting, avoiding the need for additional meetings. Of course, many times it won't be possible to negotiate face to face, and so telephone conversations are the next best method of communicating, because they still convey two of the three benefits of face to face communication.

Most often, however, you will likely be dealing with correspondence, either traditional or electronic, and so you will have to account for the limitations of these mediums. Because the recipient can't read your posture or tone, it is very important to fully express everything in writing that would otherwise be conveyed in a face to face meeting. For instance, a short, direct email meant to save time can often be mistaken for terse, or even rude, by the recipient, and thus risks beginning negotiations on the wrong foot. More importantly however, a short, direct email risks failure because it does not allow for much information to pass to the recipient. Don't presume that your motivations or needs are obvious to the publisher – explain why you seek to retain the enumerated rights.

For instance, if you'd like to retain the right to upload use your work on Blackboard, explain how Blackboard is an integral part of your class plan, and how disruptive it would be to have your published work unavailable through that medium.

Overall, explanations are helpful to the process; however, keep in mind that many people, publishers included, view negotiations as a bartering game. They expect you to ask for more than you will ultimately accept, and they will initially offer less than they will ultimately accept. So, two important tenets of bartering in this context are (1) ask for more than you need, and (2) don't tell the publisher which of your

requests are deal-breakers and which aren't. During discussions, you can then trade away requests that matter less to you for requests that are more important (especially the deal-breakers).

Of course, it is not necessary to trade away a request entirely in order to come to agreement. If the publisher refuses a particular request, you can still attempt to gain the concession: ask what concerns caused them to refuse on this particular right, and suggest that you work together on a solution that addresses the needs of both parties. As an example, consider a request to retain the right to post your work on your personal website. If the publisher won't agree to this, ask why. The answer might be that your website is available to the public, and so their exclusive content could be downloaded by anyone without a subscription. You could agree to post it behind a limited-access area of your site, or to post it six months after publication.

A Note on Opening Negotiations : it is much easier to pick up the phone and explain what you're interested in doing, and then send along a follow up letter according to what is decided in the conversation. If that isn't possible, sending a letter to the publisher explaining your interest in retaining certain rights, your reasoning and asking whether they'd prefer to a new contract an addendum to their contract is the next best thing. ASU Libraries provides some examples of contracts and addenda ("riders") to help guide you.

Closing the Deal

- **Make sure all agreements made are explicitly stated and understood before ending negotiations.**
- **Memorialize the agreement in a signed writing.**

Although these steps sound obvious, they are very important and worth at least some small discussion. It is easier than it seems to misunderstand what a party is offering or agreeing to, and it is also very easy to forget details during a discussion. This is why it is important once you feel an agreement has been reached to restate the terms generally and have the other party review them before you end discussions.

Once you have agreed explicitly to the terms, a signed writing is necessary both because copyright must be transferred in writing under the law, and because promises made orally may or may not be enforceable after the fact. Although publishers are fairly sophisticated legally and should know better, you will find that too often they assure you that it will be alright to use your work in the ways you seek to, but they suggest that you simply sign their contract without getting these promises in writing. Don't fall for this - insist on writing that reflects your agreement.

For More Information and Additional Resources

- [Copyright and Intellectual Property Glossary](#)
- [Contract Sample](#)
- [Rider Sample](#)
- [Link to Addenda](#)



Retaining Your Copyright: An Introduction to the Use of the Author's Addendum

What is covered by copyright?

Any content you create in a tangible format! Not only scholarly work, but even your to-do list at home, your monthly report, your email messages, your child's art work or notes you take at meetings and presentations.

What is not covered by copyright?

- Facts
- Ideas
- Lists, e.g. telephone book!
- Public domain materials

Do I have to register copyright?

No! Copyright protection is automatic, but if you wish, you can register with the U.S. Copyright Office. You also may provide a copyright notice, for example: © 2005 Trisha L. Davis
More information is available at: <http://www.copyright.gov/register/>

What rights does the Copyright Law provide?

The Author's Bundle of 5 Rights:

- Right to Reproduce
- Right to Prepare Derivative Works
- Right to Distribute
- Right to Display Publicly
- Right to Perform Publicly

And by default, the right to authorize others to exercise any of these rights.

What happens when I sign a Publisher's Agreement?

You may unknowingly sign away all your personal rights, including Fair Use! This means you may have to request permission to:

- use your own works for a course pack;
- store a copy on your web site;
- distribute a copy to colleagues.

<http://library.osu.edu/sites/copyright/>

So, what can I do?

- Explicitly retain ownership of your content.
- Transfer only *some* of your rights to the publisher.

What rights can I retain?

- The “Author’s 5 Basic Rights” in connection to any personal, professional or non-profit educational activities.
- The right to grant the author’s home institution any of the 5 Basic Rights.

How can I retain those rights?

- Only sign a publishing agreement after you read and understand the content.
- Talk to your publisher about granting only those rights needed for their publication.
- Try to keep all other rights, specifying those of particular value to you or your institution.

I’m not a lawyer! Is there a place I can get information?

Yes! There are several sources publicly available that you can use. Two convenient ones are from Scholarly Publishing and Academic Resources Coalition (SPARC) and Indiana University.

SPARC Author’s Addendum, available at www.arl.org/sparc/author/addendum.html, was developed by Michael Carroll of the Villanova University School of Law.

Indiana University has two addenda available at: www.copyright.iupui.edu/nego_doc.htm

- Addendum A: Spells out specific rights retained by the author.
- Addendum B: Describes in general terms the rights retained by the author and the author’s home institution

For further information contact:

Copyright Help Center
The Ohio State University Libraries
Science and Engineering Library, Room 002
175 West 18th Avenue
Columbus, Ohio 43210
(614) 688-5849
libcopyright@osu.edu

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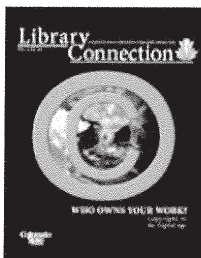
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MARCH 27, 2007

Who Owns Your Work: Copyright in the Digital Age



Comment on this issue

It's been ten years since CSU Libraries launched its Web site, and since then the Internet has revolutionized the way we bring you information. Today the Library provides you with access to more than 24,000 electronic journals and more than 198 databases, regardless of whether you're at home, at the office, or out in the field. The Library Web site has no doubt transformed the way that CSU faculty and staff conduct their writing and research. The Internet has had a similar effect on the classroom, with students now able to do research from computer labs inside the Library, across campus, in their dorm rooms, and beyond. Thanks to the Library's Electronic Reserve system, we're also making it easier for you to share materials online with your students without the costly expense of paper copies.

As a society, we are in the midst of an information revolution. For the first time in history, Internet technology enables the dissemination of knowledge and the exchange of ideas both globally and instantly. The Internet is also transforming notions of authorship. As blogging, e-mail listservs, and other forms of online publishing are embraced across academia, the ways in which we publish and share our work are being radically transformed. In the midst of this burgeoning technology, lawmakers are faced with important questions on the ways in which to govern--or, some would argue, to protect--information in the digital environment. This issue of *Library Connection* explores copyright in the digital age. Who owns creative work and who has the right to share it? For educators, the [Know Your Copy Rights](#) will serve as a quick guide to help you navigate some important questions when sharing digital content in the classroom. We're happy to assist you in the Library and the General Counsel's Office can also answer specific legal questions pertaining to copyright information. The article we present here in *Library Connection* is addressed to you as authors. It is meant to help you explore the options of ownership of your own creative work--the rights you have, the rights you sign away, and the rights you may want to keep.

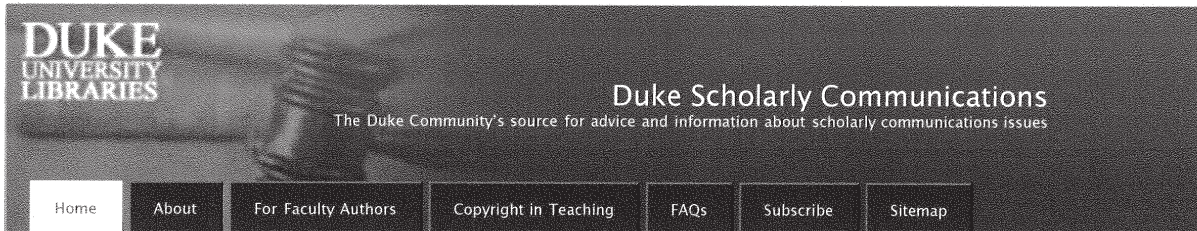
Posted by Judea Franck at 05:31 PM | [Permalink](#)

Exploring Copyright



In an academic setting, publishing is essential. It enables us to communicate our research and teaching to others, to further the exploration of ideas and theories, to share discoveries and make important advances that directly impact our communities and quality of life. Ideally, publishing gives us a voice in the vast discourse of our fields. Most practically, it provides us with professional standing and enables us to pursue important advancements such as tenure. Most view publishing as the end result of months or sometimes years of toil--the products of our research and teaching. Once our work has been accepted, especially if it is to be published by a top tier journal, we often sign

whatever paper the publisher puts in front of us. It is so important that our work has made the journey from our own desktop and into the wider world to be read, discussed, and hopefully cited that most of



Can Google inherit quality? August 14, 2007

Posted by Kevin Smith in [Open Access and Institutional Repositories](#), [Technologies](#) · [1 comment so far](#)

That is the question posed by Paul Duguid, a professor at UC Berkeley, the University of London and Santa Clara University, about the Google Books Project. His article, "[Inheritance and loss? A brief survey of Google Books](#)" was just published in [First Monday](#), a peer-reviewed online journal about the internet.

Duguid's point is that the Google Books project will really outstrip most other projects to digitize cultural artifacts, making them "appear inept or inadequate." But the authority and quality of the Google project, Duguid argues, is based on a kind of inheritance from the reputation of the libraries involved. So Duguid sets out to see if Google really is the qualitative heir of Harvard and Stanford.

His results are disheartening. His search for a deliberately unconventional book, Sterne's "Tristram Shandy," returns results likely to confuse and discourage a casual reader. The first result on Google's results list, a copy from Harvard, is so badly scanned that it is virtually illegible, with words cut off by the gutter on nearly every line. Elsewhere the text fades to indecipherable scratchings. And some of Sterne's eccentricities are missing; the black page of mourning for the dead Parson Yorick simply is not included in the Google scan. When Duguid tries the second result from his search, things get worse. The first page of the scan is blank and the second page puts the reader at the end of chapter One and the beginning of chapter 2 — of the second volume. Nothing informs the reader (other than comparison with a printed text) that they have been plunged into the middle of the book.

Duguid's judgments on Google Books are harsh: the project ignores essential metadata like volume numbers, the quality of the scans are often inadequate, and sometimes editions that are best consigned to oblivion are given undeserved prominence for no discernible reason (that is his conclusion regarding the second text he found, from Stanford). Rather than inheriting quality from Harvard and Stanford, he concludes, "Google threatens not only its own reputation for quality and technological sophistication, but also those of the institutions that have allied themselves to the project."

It is true that the real value of the Google Books Project is not so much to find reading matter for people as to direct them to which books are most likely to be of help or interest to them. Few people, one presumes, will try to read "Tristram Shandy" in the Google Books format. But the failures of visual quality and metadata control threaten even the more modest view of Google Books as a giant index. Without a higher degree of quality than Duguid discovered, it is hard to argue that Google is superior in any way to a comprehensive online catalog from a major library

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Yale says no to an OA flavor August 10, 2007

Posted by Kevin Smith in [Open Access and Institutional Repositories](#), [Scholarly Publishing](#) · [add a comment](#)

The [announcement this week](#) that Yale University will no longer maintain its membership in BioMed Central is another example of the growing pains involved as scholar publishing adapts itself to new business models and forms of distribution.

BioMed Central is an open access publisher that relies on author fees and institutional memberships to pay the cost of online publishing. The resulting 180 peer-reviewed electronic journals are freely available to all users. But open access is not free, and Yale decided to withdraw its institutional membership, which covered the fees for all articles published in BioMed Central journals by Yale authors, [because the price was getting too high](#). In one sense, this is good news for open access publishing; it means that lots of authors from this prestigious university are publishing in BioMed One journals. Clearly quality, peer-reviewed scholarship is compatible with open access. [In its response to](#)

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SCHOLARLY COMMUNICATION



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ISSUES IN SCHOLARLY COMMUNICATION: SC News for the UIUC Community

August 9, 2007

Yale Drops It's Pre-Pay Membership to BioMed Central

As widely reported in the media, Yale University has dropped it's institutional membership in BioMed Central.

This isn't a reflection on lack of support on Yale's part for the idea of open access. In fact, membership was dropped because Yale authors are apparently flocking to publish their articles in the openly accessible BMC journals, which then made the cost to the library - which was picking up the publication fees for the papers - soar out of hand! There were 41 BMC papers published by Yale authors in 2006; already in 2007 there have been 43. (Note: The corresponding author, whose institution pays the publication fee, was not necessarily a Yale author in all these cases.) By taking an institutional "pre-pay" membership in BMC, the Yale Library had opted to try to pay the BMC author publication fees (via the Institutional Membership program) and these fees just got to be too much for them to bear as more and more Yale authors opted for publishing in BMC titles.

To be sure, the article charges for publishing in BMC journals have been rising, too. Yale authors can, of course, continue to publish in BMC journals, and it will be interesting to see how many still opt for this. They will have to pay the page charges out of their grant money, as over half of the BMC authors have been doing.

As David Stern, Yale's science librarian, [wrote to his readers](#):

The libraries' BioMedCentral membership represented an opportunity to test the technical feasibility and the business model of this OA publisher. While the technology proved acceptable, the business model failed to provide a viable long-term revenue base built upon logical and scalable options. Instead, BioMedCentral has asked libraries for larger and larger contributions to subsidize their activities. Starting with 2005, BioMed Central article charges cost the libraries \$4,658, comparable to a single biomedicine journal subscription. The cost of article charges for 2006 then jumped to \$31,625. The article charges have continued to soar in 2007 with the libraries charged \$29,635 through June 2007, with \$34,965 in potential additional article charges in submission.

He goes on to conclude...

"We believe in the widest possible access to scholarly research supported by workable business models and should BioMed Central develop a viable economic model which allows them to more equitably share costs across all interested stakeholders, we would consider renewing our financial support. "

BMC Publisher, Matthew Cockerill, has of course [taken issue with Yale's move](#), pointing out that the article processing charges that BMC charges are not as high as you might think. He goes on to suggest that libraries consider the future where instead of purchasing some subscriptions to journals it may be a role of the library to support open access publishing for the greater good. From his posting:

That is why BioMed Central introduced its institutional membership scheme, which allows institutions to centrally support the dissemination of open access research in the same way that they centrally support subscription journals, thereby creating a 'level playing field'.

In order to ensure that funding of open access publication is sustainable, we have encouraged institutions to set aside a small fraction of the indirect funding contribution that they receive from funders to create a central open access fund.

It should be noted that BMC's Institutional Membership program, whereby universities (usually the library) pre-pay all or most of the author's article fees is not the only way in which the institution can show it's support for the BMC flavor of open access. BMC also offers a "Supporting Membership" which is not tied to the number of articles submitted from an institution; it offers a modest (usually 15%) reduction in the article publication charge.

At this point, the University of Illinois at Urbana-Champaign is neither an Institutional nor Supporting member of BMC.

Posted by Kacie Newman at [1:28 PM](#)

Report Tracks Search Engine Privacy

A [report](#) published recently by the Center for Democracy & Technology (CDT) tracks the efforts of the leading

ABOUT

Issues in Scholarly Communication is a newsletter produced by Paula Kaufman, University Librarian, for the UIUC community. Entries from 2001-2005 newsletter are [available](#).

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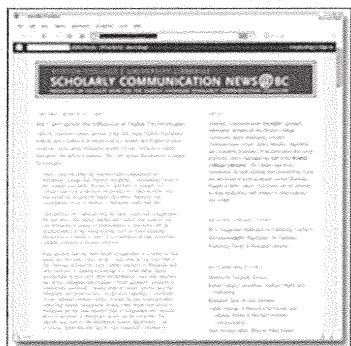


VOLUME 8 NUMBER 2

SPRING 2007

Scholarly Communication News@BC

The Boston College Libraries have gone from strength to strength over the past decade with their collections, print, electronic, and other, having expanded dramatically. The Libraries are committed to continue building and making accessible strong collections in both traditional and digital formats in support of research and the curriculum. Nevertheless, the Libraries are challenged by the escalating quantity and costs of research publications that are rendering it increasingly difficult to purchase all the materials that will meet the scholarly needs of current and future faculty and students. On the other hand, while research libraries face complex and multi-faceted challenges, great innovative opportunities abound with respect to the dissemination of scholarship and research results. Growing numbers in the Academy are becoming aware that solutions to the problems facing libraries and to the various barriers restricting access to and dissemination of scholarship must center on the Academy reclaiming much of the power and control presently wielded by publishers or at least establish mechanisms, mainly electronic, for alternative diffusion of scholarship.



As a vehicle to discuss, publicize, and to garner feedback on some of these issues Boston College Libraries have recently established a blog, [Scholarly Communication News@BC](#). This provides frequent information updates for the Boston College community about developing scholarly communication issues, policy debates, legislation and innovative examples of dissemination/discourse practices. Numerous other topics are candidates for discussion, for example Open Access; institutional and disciplinary repositories; authors' rights and copyright; digital scholarship and its relation to promotion and tenure; publisher mergers and acquisitions; author pays publication options; [Google Book Project](#); the [Bergstrom Eigenfactor](#); journal bundling/aggregating/big deal subscriptions; Web 2.0; [Federal Research Public Access Act](#); the effect of open access and downloads on citation impact; the

[Alliance for Taxpayer Access](#); [Directory of Open Access Journals](#). Many other subjects can be covered too.

The blog is fashioned with "permanent" links along a right section – subsections entitled: **About** (a brief description of the blog scope); **Related Library Pages** (local resources); **Recommended Sites** (national & international news); **Academic Scholarly Communication Blogs** (blogs created by peer institutions); and **Blog Archive** (links to older postings). The main area will be updated regularly, providing up-to-date news on the rapidly changing Scholarly Communication landscape. The libraries are providing this forum to inform and support discussions about posted news items. Contributors for both posting (posting requires an email invitation from blog administrators) and commenting are welcome. If you are interested in posting please contact [Brendan Rapple](#) or [Mark Caprio](#).



Mark Caprio
eScholarship Program Manager

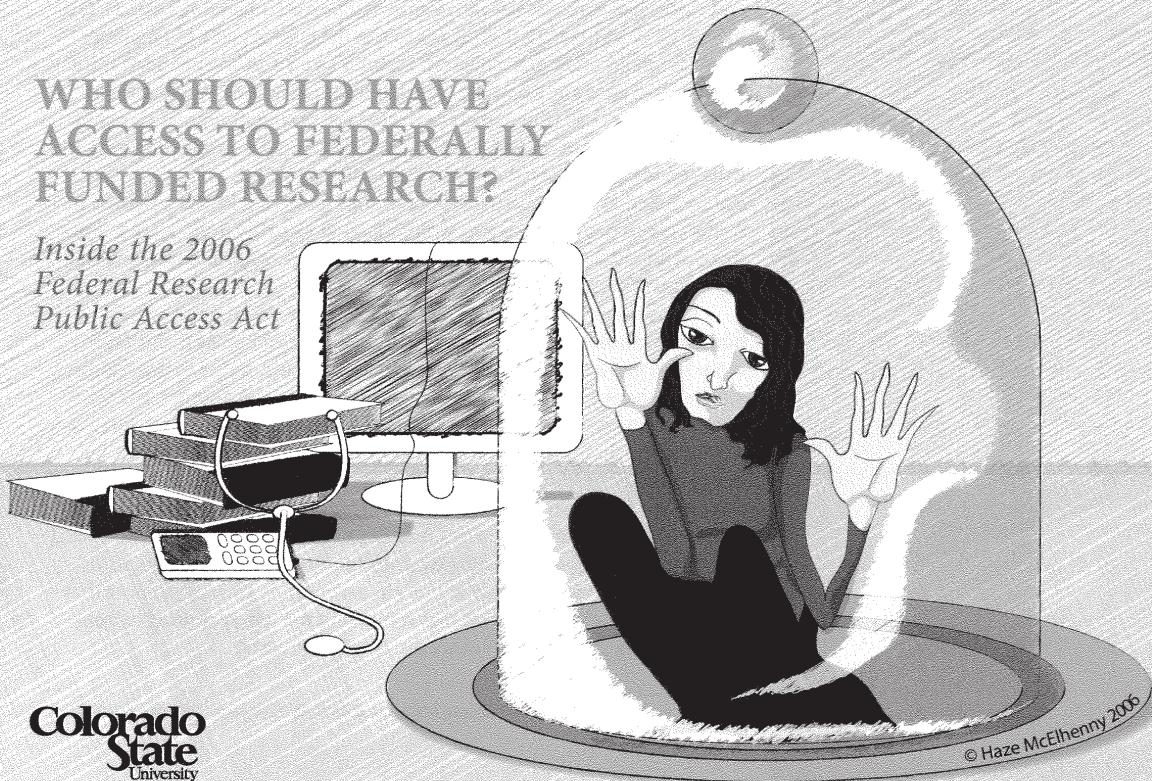
Library Connection

COLORADO STATE UNIVERSITY LIBRARIES | FALL 2006

VOL. 1, NO. 1/2

WHO SHOULD HAVE
ACCESS TO FEDERALLY
FUNDED RESEARCH?

*Inside the 2006
Federal Research
Public Access Act*



**Colorado
State
University**

Who should have access to federally funded research? Researchers? Professors? Students? Taxpayers? Should research findings be freely available on the Internet? What would be the impact if colleagues in all fields could exchange information with the click of a mouse and without the barriers of membership, subscriptions, or dues?

These questions have recently been brought to the forefront by the introduction of the Federal Research Public Access Act (FRPAA), a bill that would have eleven federal agencies, funding research across a broad spectrum of disciplines, require grant recipients to publish their work—online and free—within six months of publication elsewhere. Introduced in May by Senators John Cornyn (R-Texas) and Joseph Lieberman (D-Connecticut), the legislation aims to answer the growing concern that scholars, researchers, professionals, and the taxpaying public have limited access to significant research discoveries funded by federal agencies.

Last year alone, Colorado State University received more than \$159 million in research funding from federal sources, leading to important advances in veterinary medicine, infectious disease, the treatment of debilitating illnesses, and more. Now, as the 2006 legislative session draws to a close, legislators on both sides of the aisle may push this bill to a floor vote. Advocates of the legislation see this bill as an opportunity to facilitate open exchange among researchers and rapidly increase the impact of research findings. Opponents have attacked the bill, claiming it is bad for research. This issue of *Library Connection* explores the fundamentals of the Federal Research Public Access Act (FRPAA) and asks: Who should have access to publicly funded research? And what would be the impact of this bill's passage on the CSU campus and beyond?

Opening Access Exploring the Federal

If Only Someone Else Had Heard

After his experiences on the battlefields of World War I, Alexander Fleming made a shocking discovery—bacteria could be an even deadlier force than enemy artillery. In the startling conditions of trench warfare, infection caused 15 percent of war-related fatalities, or roughly 5.5 million out of 37 million total deaths. Fleming returned to his London laboratory driven to find some way to prevent these deaths. His pursuit eventually led to the discovery that mold, specifically penicillin, could kill bacteria. Today, penicillin has become one of our most successful defenses against infectious disease; however, when Fleming published his findings in the *British Journal of Experimental Pathology* in 1928, his work raised little interest and was nearly lost to scientific obscurity.

It was not until 1938, ten years later, that British scientist Ernst Chain and Australian scientist Howard Florey rediscovered Fleming's article. On the eve of World War II, they began to test the effectiveness of Fleming's "miracle" mold on human subjects. Chain, Florey, and an expanded team of scientists, later known as the Oxford Group, took their discoveries to America where USDA scientists perfected the production process, manufactured the drug in mass quantities, and distributed it to Allied forces. The new "wonder drug" saved countless lives that would have otherwise been lost to infection on the battlefields of Europe and Asia. In fact, after the introduction of penicillin, deaths from infection virtually disappeared. Since then, penicillin has saved millions more lives worldwide and is one of the most widely prescribed antibiotics.¹

Many of our most profound scientific discoveries share similarly humble beginnings. Anyone working in laboratories knows that it takes more than just one scientist, working in the predawn hours to unlock the secrets of the world. It takes another scientist, and then another, and then another to move from a first significant discovery to the practical application of research. Communication between researchers has long been the key to advancing research and accelerating the real world impact of those discoveries. Fortunately, the research community—with the assistance of scholarly associations, publishers, and libraries—has moved worlds beyond shouting "Eureka!" and running through the streets. Yet in today's world, with information increasingly at one's fingertips, it is amazing to note that some of the very same barriers that resulted in the ten-year delay of penicillin research and countless other discoveries still exist.

1. Maurois, A. *The Life of Sir Alexander Fleming, Discoverer of Penicillin*. Trans. Gerard Hopkins. New York: E.P. Dutton & Co., Inc., 1959.

ness:

Research Public Access Act (FRPAA)

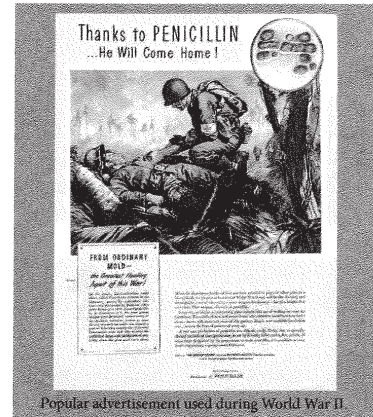
Scholars in all fields communicate their discoveries, ideas, and innovations largely through publication in peer-reviewed journals. Many of those scholars, working in universities around the country, depend on their university libraries to provide access to those journals through subscriptions. However, with journal prices escalating at rates that are two to three times greater than general inflation, this mode of communication is becoming increasingly impractical. Colorado State University Libraries provides the campus with over 31,000 current serials, including more than 23,000 full-text online journals, at a cost of approximately \$3.6 million per year. That's roughly 65 percent of the Libraries' materials budget solely dedicated to supplying the campus with scholarship published in journals, leaving only 35 percent to spend on books and other important resources.

Unfortunately, in the past five years CSU Libraries has gone through two major journal cancellation projects due to exploding journal costs. Although the Libraries continues in its efforts to provide access to significant research findings via consortial partnerships, which permit the bulk purchase of journal titles in association with other universities, and an ever-expanding interlibrary loan effort, which vastly improves access to articles not in CSU's own collection, access is shrinking—not growing—in a way that contradicts modern advances in technology.

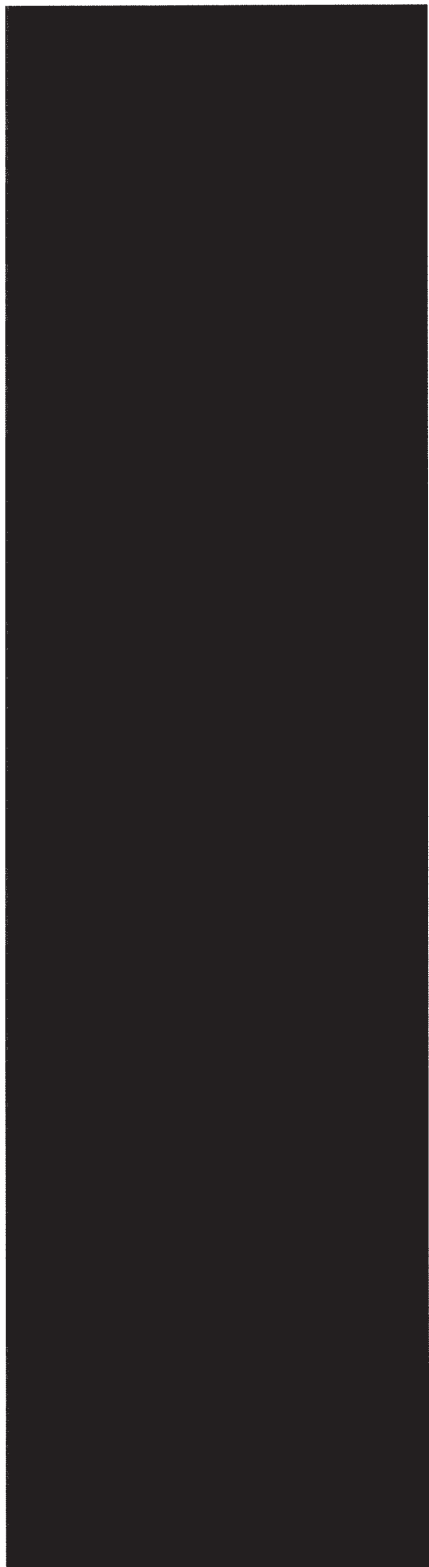
The Internet should enable instantaneous, immediate communication between researchers and scholars. Just imagine if Fleming could have sat down at a computer and told colleagues in England and beyond about the miracle mold that could knock out staph bacteria. In fact, the number of visitors to digital content on Web sites so far outnumbers traditional journal circulations that the potential to broadly, widely, and immediately impact the scientific community via publishing online is nearly limitless. Take, for example, the journal *Science*. *Science* is one of the most commonly cited journals and boasts 130,000 print subscriptions. Yet its Web site, which contains a mix of free and subscription-required portions, receives 1.8 million weekly visits.²

While many publishers are choosing to offer their materials electronically, the need for costly subscriptions, even for materials available online, continues to limit access. Such barriers to the exchange of information between scholars and researchers ultimately threaten to stifle research worldwide.

2. Young, T. *Science Representative*, Telephone interview, 23 October 2006.



Popular advertisement used during World War II.



Public Access Denied

Coupled with the strain on researchers is a growing movement to grant taxpayers access to research that is funded with taxpayer dollars. Led largely by the Alliance for Taxpayer Access (<http://www.taxpayeraccess.org>), an organization in which CSU is a founding member, the movement insists on developing open, online access to federally funded research. Its main advocates include universities, libraries, consumer groups, and perhaps most notably a long list of patient advocate groups including the Genetic Alliance (<http://www.geneticalliance.org>), a coalition of 600 disease-specific organizations that advocates for better healthcare treatments.

Sharon Terry became the coalition's president after she and her husband encountered astounding barriers to research literature that would help them understand the debilitating genetic disorder from which both of their children suffered. The Terrys worked around those barriers by volunteering at a hospital and gaining access to the hospital's library. Armed with the research that they were first denied, the Terrys became experts on their children's disorders and, working with a network of scientists, became co-discoverers of the gene responsible for the disorder.³ Although it is uncommon for lay individuals to make such a significant impact in the research community, 80 percent of taxpayers, according to a recent Harris interactive poll, support a right to "open access" and have a strong desire not necessarily to view research findings themselves, but rather to feel the real-world benefits reflected when their own doctors, pharmacists, and other practitioners have better access to cutting-edge discoveries.⁴

What Everyone Should Know

The use of Prozac to treat depression in teenagers is a prime example of the kind of information arising from government funded research that the public needs and wants to know. In 2002, 11 million antidepressant prescriptions were written for U.S. children. However, no large scale study had been conducted on the impact of using those drugs in the younger population. Fortunately, a team of researchers at Duke University Medical Center conducted a study of adolescents taking antidepressants and found overwhelmingly that Prozac combined with talk therapy was the most effective means to substantially improve teen depression. However, the federally funded research study also revealed an increased likelihood for teens on Prozac to engage in harmful behaviors, including suicide attempts.

The results of the study were first published in August 2004 in the *New England Journal of Medicine*. It was not until two months later, in October of 2004, that the FDA issued warnings about the drug's risks and not until March of the following year that drug manufacturers issued "black box" warning labels for Prozac. NDC Health Inc. reported a 20 percent overall drop in prescriptions after the warning was issued.⁵ It is difficult to know how many suicides or attempted suicides were impacted by the FDA's warnings. Regardless, teens, their parents, and their doctors had a stake in understanding the risks and benefits of the drug. This controversy illustrates an important point for those in favor of FRPPA and similar legislation: delayed communication of research findings can result in more than just intellectual stagnation and can have a costly, even devastating, effect on communities.

3. English, R. and M. Raphael. "The Next BIG Library Legislative Issue." *American Libraries*. 37 (8)2006: 30-33.

4. *Ibid.*, 31.

5. Elias, M. "New Hope, New Dread." *USA Today*. 27 December 2005:D6.

The Voluntary Experiment

Advances in technology, combined with a desire for researchers to broaden the impact and scope of their work and the public outcry for access to research funded from their own pockets, have spurred advances in open access to federally funded research. The National Institutes of Health (NIH), whose \$28 billion budget accounts for one-third of all federal dollars spent on research and which funds an estimated 65,000 peer-reviewed journal articles each year, adopted an open access policy in May of 2005. The NIH policy requests and strongly encourages all investigators to make NIH-funded research available to other scientists and the public through the NIH National Library of Medicine's *PubMed Central* (PMC) database immediately after the final date of peer-reviewed journal publication. The NIH has developed a password protected, Web-based NIH manuscript submission system that requires a simple uploading of a PDF version of final manuscripts; however, only 3 percent of researchers have participated in this program.⁶

It is unclear why the NIH's voluntary submission policy did not work, particularly since it was created by a balanced panel of publishers, scientists, patient advocates, scientific associations, and other organizations in conjunction with the NIH's director, Dr. Elias A. Zerhouni. Advocates of the NIH's policy quickly realized that the voluntary submission process may need to be mandatory in order to serve the research community and reach the Institute's open access goals.⁷

In May of this year, one year after the voluntary deposit experiment was launched with little success, Senators Cornyn and Lieberman introduced the Federal Research Public Access Act (FRPAA), a bill that would have federal agencies require grant recipients to publish their papers—online and free—within six months of their publication elsewhere.

Key Features of FRPAA

At its core, FRPAA aims to expand access to research in order to improve information exchange between researchers, help prompt new advancements, broaden impact of discoveries, avoid duplications, and support a greater return on taxpayer investment. The bill impacts federal agencies with an annual research budget of more than \$100 million. This includes the Departments of Agriculture, Commerce, Defense, Education, Energy, Health and Human Services (which houses the NIH), Homeland Security, Transportation, the Environmental Protection Agency, the National Aeronautics and Space Administration, and the National Science Foundation.

The key difference between FRPAA and the current policy is that the bill would *require* grant recipients to deposit their papers, post peer-review and post publication, in an online repository maintained by the granting agency that ensures free, online, worldwide access and long-term preservation. The anticipated expectation is that these repositories would be similar to that of *PubMed Central*, which is searchable, stable, and easy to use. "The goal is to share information...and help spur new ideas which down the road can mean new treatments and cures for researchers, medical professionals, and patients," noted Lieberman in a joint press release to announce the bill. "It will help accelerate scientific innovation and discovery," added Cornyn.

6. National Institutes of Health. Open Access Policy. 29 September 2006 <<http://publicaccess.nih.gov>>.

7. Alliance for Taxpayer Access. Key Advisory Group Reaffirms that NIH Public Access Policy Should Be 6 Months and Mandatory. Alliance for Taxpayer Access Press Release. 13 April 2006 <<http://www.taxpayeraccess.org/media/Release06-0413.html>>.

Read FRPPA for Yourself

The actual wording of the bipartisan bill can be found online at: <<http://cornyn.senate.gov/index.asp?f=record&id=1&rid=237171>>.

Impact on the CSU Campus

If FRPPA were to pass today:

- CSU students, faculty, and staff would have unlimited access from home, office, or campus computers to the more than 65,000 scholarly articles published as a result of research supported by federal funds.
- CSU faculty, staff, and students working on federally funded projects would be guaranteed a highly visible, easy-to-access venue in which to publish their work.
- The scholarly work of the CSU community would reach millions of people worldwide.
- The research findings of the CSU community would be preserved and protected to influence the discovery and scholarship of the future.

A Good Idea, So Why the Debate?

Given the significant impact that online technology has had on improving research, proponents contend that expanding the use of that technology to increase global access would no doubt have a positive effect on scholarship; however, the legislation has sparked a fierce debate. At the heart of that debate lies questions of how the policy will impact peer-review, challenge current publishing policies, and impact the budgets of the federal agencies.

The American Chemical Society (ACS), the world's largest scientific society, and the Association of American Publishers (AAP), with some 260 member publishers around the country, are two of the most vocal forces opposing the bill. In letters to Senators Cornyn, Lieberman, and Susan Collins (R-Maine), opponents argue that the bill would destroy the peer-review system, which ensures journal quality, and would pit federal agencies as competitors against scholarly publishers.⁸ The ACS's publications arm and the Chemical Abstracts Service (CAS), a rich database of chemical information and literature, in 2004 earned \$40 million for the society after accounting for the divisions' publication expenditures.⁹ If their arguments against the bill hold water, the ACS has much at stake, at least commercially. But what of their societal mission "to encourage in the broadest and most liberal manner the advancement of chemistry and all its branches"?¹⁰ During their national conference in August of 2005, after ACS came out against the NIH's open access database *PubChem*, a growing number of ACS members began to challenge the society's leadership, citing the contradiction in the society's stance. "I am growing increasingly upset with their direction," said Chris Reed, an inorganic chemist at the University of California, Riverside in a 2005 article published in *Nature*.¹¹ Some members have even wondered how the society could support limits to free access when it would benefit their own research.

Proponents of FRPAA note that the bill stresses the deposit of manuscripts post-peer review and implements a six-month embargo on public access, to acknowledge publishers' contributions and to avoid competition with their subscribers. According to the bill's FAQ, authored by Senator Cornyn, "The six month embargo will preserve the important role of journals and publishers in the peer review process. This provision balances important interests and ensures that research is widely available while it still is useful."¹²

In addition to the bill's own provisions, the idea that open access will damage subscriptions remains an open-ended question with some evidence pointing to the contrary. The few scholarly societies that have chosen to allow their authors to publish online, open access versions of their work after publication demonstrate that open access has had little effect on their ability to sell subscriptions in addition to the content they offer for free. A key example of this is the American Physical Society (APS). More than 30,000 articles a year are submitted to the APS, with some institutions paying upwards of \$20,000 for full access to their publications. The society

8. Letter to Senators Cornyn, Lieberman, & Collins. 7 June 2006. <<http://opa.faseb.org/pdf/CornynLieberman-CollinsLettersJune7.pdf>>.

9. Maris, E. "Chemical Reaction." *Nature*, 437 (6) 2005: 807-809.

10. *Ibid.* 807.

11. *Ibid.* 807.

12. United States Senate. Office of Senator Cornyn. Federal Research Public Access Act FAQ. Basic Facts. 2 May 2006. <http://cornyn.senate.gov/doc_archive/05-02-2006_FRPPAFAQs.pdf>.

allows physicists to post their work anywhere that allows free access and without any delay. The editor, Martin Blume, notes that their policy has forced him to improve their publications and that subscribers, especially institutions, are still willing to pay. Since APS's journals date back to 1893, there is little or no comparison between what subscribers get access to for a fee and what an open access government depository could provide.¹³ Some argue that with postings that include and credit the article's original publisher, the federal agency would seem to serve less as a competitor and more as a means to attract subscribers seeking the wealth of past publication that only for-fee services currently provide.

Although proponents argue that the bill protects peer-review by definition, some add that broadening access to scholars worldwide may also result in increased scrutiny of published work, which would in turn ensure greater quality control in scholarship. The January 2006 scandal of South Korean scientist Dr. Hwang Woo-suk, whose fabricated cloning research was published in the highly reputable *Science*, has brought speculation on the peer-review practice as a whole. Robert Terry, senior policy adviser at the U.K. medical charity the Wellcome Trust, suggests that adopting open access publishing models could be the key to detecting plagiarism and other problems. "We think it would be harder for people to plagiarize work once you can do extensive word searches and access more material free on the Internet," said Terry in an interview with the BBC in 2006, shortly after the scandal broke.¹⁴ Scrutiny by a community of experts, made possible by increased access, may in fact be the extra checks the peer-review practice needs to shore up the process of ensuring accuracy in research.

Opponents also contend that creating and maintaining the required online depositories would divert dollars away from supporting research.¹⁵ The NIH's *PubMed Central* depository, according to agency estimates, has cost the agency less than 1 percent of its overall budget.¹⁶ It is, perhaps, a very small price to pay for the potential impact of opening the doors to such important scholarship.

Take a Stand

Log on to the *Library Connection* Weblog (<http://lib.colostate.edu/blogs/libraryconnection>) to post your comments on this issue.

Contact Congress (<http://www.congressmerge.com/online/b/powersearch.htm>)

13. Jaschik, S. "In Whose Interest." *Inside Higher Ed*. 15 June 2006. <<http://insidehighered.com/news/2006/06/15/open>>.

14. Rincon, P. and J. Amos. Interview. *BBC News*. United Kingdom, 10 January 2006.

15. Baum, R. "Take a Stand." *Chemical & Engineering News*. 84 (23) 2006.

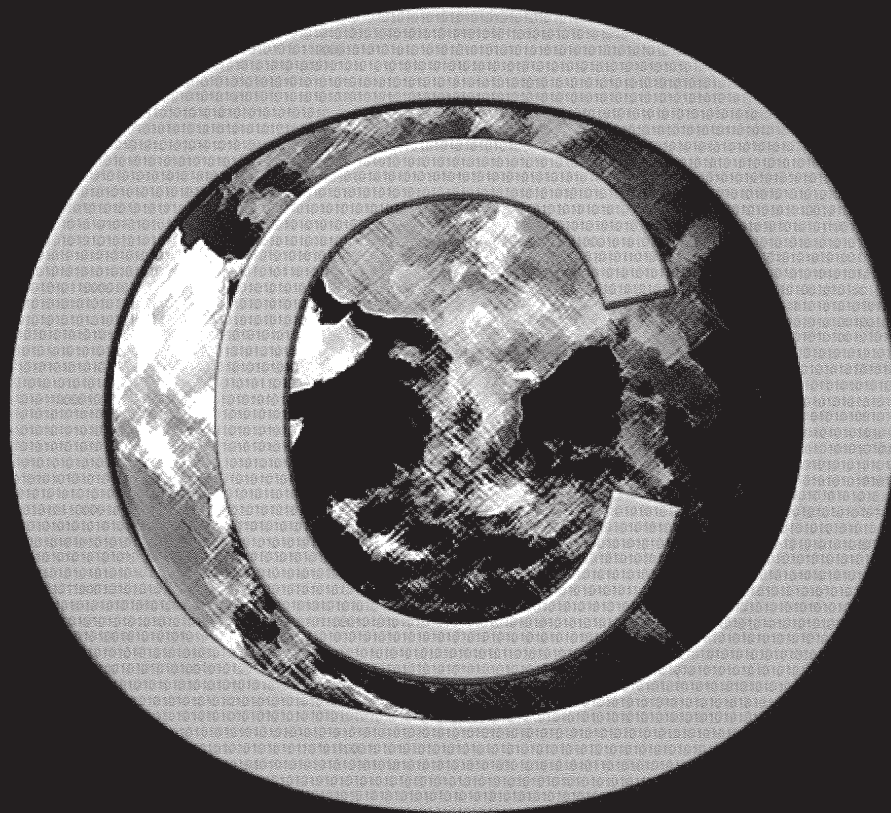
16. *New England Journal of Medicine*. 352 (2005) 17.

Library

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VOL. 2, NO. 2/2

Connection 



WHO OWNS YOUR WORK?

*Copyright in
the Digital Age*

**Colorado
State**
University

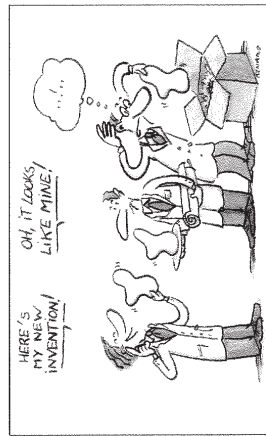
Who Owns Your Work? Exploring Copyright in the Digital Age

In an academic setting, publishing is essential. It enables us to communicate our research and teaching to others, to further the exploration of ideas and theories, to share discoveries and make important advances that directly impact our communities and quality of life. Ideally, publishing gives us a voice in the vast discourse of our fields. Most practically, it provides us with professional standing and enables us to pursue important advancements such as tenure. Most view publishing as the end result of months or sometimes years of toil—the products of our research and teaching.

Once our work has been accepted, especially if it is to be published by a top tier journal, we often sign whatever paper the publisher puts in front of us. It is so important that our work has made the journey from our own desktop and into the wider world to be read, discussed, and hopefully cited that most of us probably don't even know what it is we are signing away.

I use the term "we" deliberately, to include librarians. Although open access is one of the key issues being tackled by libraries and librarians worldwide, a recent study shows that librarians are no more aware than other academic faculty of what rights they sign away, nor are they particularly motivated to publish in journals that allow them to retain their rights. According to an international study published by City University in London, 13% of authors across disciplines indicated a detailed interest in copyright and intellectual property rights. These results are strikingly similar to a 2007 survey of librarians published by researchers from Southern Illinois University. Carbondale, which reported that only 10% of respondents indicated such an interest.¹

The assertion is not that this behavior is bad or should be judged harshly; instead, the question is why do we do this? Why do authors take such little interest in the rights to their own intellectual property? And in today's online environment, when publishing lacks some of the traditional barriers and the environment more readily supports the dissemination of information, what is the effect of this behavior? Should we be doing something different with the rights to our own work?



1. Center, H., C. Saylor and A. Jume. (2007). "Library Faculty Publishing and Intellectual Property Issues: A Survey of Attitudes and Awareness." *Libraries and the Academy*, 7(1), p. 65-79.
2. Carlson Credit, BA. European Space Agency (http://www.esa.int/SPECIAL/Intellectual_Property_Rights/eSAP1-04-19W-10) (Jatani)

It's been ten years, since, CSU Libraries launched its Web site, and since then the Internet has revolutionized the way we bring you information. Today the Library provides you with access to more than 24,000 electronic journals and more than 198 databases, regardless of whether you're at home, at the office, or out in the field. The Library Web site has no doubt transformed the way that CSU faculty and staff conduct their writing and research. The Internet has had a similar effect on the classroom, with students now able to do research from computer files instead of the library across campus, in their dorm rooms, and beyond. Thanks to the Library's Electronic Reserve system, we're also making it easier for you to share materials online with your students without the costly expense of paper copies.

As a society, we are in the midst of an information revolution. For the first time in history, Internet technology enables the dissemination of knowledge and the exchange of ideas both globally and instantly. The Internet is also transforming notions of authorship. As blogging, e-mail listservs, and other forms of online publishing are embraced across academia, the ways in which we publish and share our work are being radically transformed.

In the midst of this burgeoning technological revolution, lawmakers are faced with important questions on the ways in which to govern—or, some would argue, to protect—information in the digital environment.

This issue of *Library Connection* explores copyright in the digital age. Who owns creative work and who has the right to share it? For educators, the "Know Your Copy Rights" insert, produced by the Association of Research Libraries (ARL), will serve as a quick guide to help you navigate some important questions when sharing digital content in the classroom. If you did not receive an insert, the information is freely available on the web at <http://www.knowyourcopyrights.org>. We're happy to assist you in the Library and the General Counsel's Office can also answer specific legal questions pertaining to copyright information.

The article we present here in *Library Connection* is addressed to you as authors. It may not help you explore the options of ownership of your own creative work—the rights you have, the rights you sign away, and the rights you may want to keep.

Know Your Copyrights™

http://www.colostate.edu/library/copyright/works-to-which-copyright-apply

Copyright Permission Assistance Available to CSU Faculty and Staff

Photocopying, or other reproduction of copyrighted works raises important legal issues for the University academic community. Although the Fair Use doctrine in the 1976 Copyright Act allows the use of copyright material for educational purposes, the law does not apply to many instances.

To help protect the University and help the academic community adhere to copyright permission law, the Department of Communications and Creative Services offers a copyright clearance and permission service to faculty and departments that print course packets and lab manuals sold out of the University Bookstore.

For more information, contact Juliana Hissrich, copyright clearance coordinator, at (970) 491-6122 in Communications and Creative Services, or submit your course packet order online at http://www.ccs.colostate.edu/order_forms/copyright_course_packets/. Some permissions can take six

to eight weeks to receive, from publishers and authors, so planning ahead is a must in the world of copyright.

Traditional Publishing: A Brief History

There is no question that in the traditional publishing market, publishers add value to authors' work. Essentially, we sign away our rights to our work because of the efforts publishers put into our work in return—the long, labor-intensive process of facilitating peer-review, proofing, copy-editing, and typesetting and marketing and distributing copies to readers. We provide the rights to our "intellectual property" and publishers provide the value of distributing our work. In turn, publishers profit from this exchange primarily by making money, and authors profit indirectly through tenure, promotion, acclaim, etc.

Copyright was born of this exchange—sort of. The printing press was introduced in England in 1476, and with it sprang up a literate public. It was then that authors began the tradition of selling their works to publishers, who in turn printed "copies." The first laws governing this trade were a means for the Crown to control "dissenting tracts" and required registry with the Stationer's Company. This policy of censorship created essentially a monopoly of the book trade in England, and an elite, specialized class of book publishers and sellers emerged.³ Even when royal censorship waned, they controlled what books were published because they held the rights to make copies, and so they controlled the ideas circulating in the public sphere and for how much those ideas were bought and sold.

Authors then, like the authors of today, retained some rights. The publisher could not add or subtract text, change the words, etc. However, the small number of publishers holding perpetual copyrights dictated what was publicly disseminated and their price control limited the number of people who could gain access to it. Effectively, their power amounted to a kind of censorship similar to that of the British monarchy. It was generally in the publishing cartels' interest to publish work that sold, even if the work presented ideas that were controversial. Yet, if work was not making it out and onto the shelves, how would the public know what was lost?

By implementing the Statute of Anne in 1709, British Parliament tried to limit the monopoly power of booksellers and limited copyright to fourteen years duration, with a possible renewal by the author for an additional fourteen years. Copyright was also extended by twenty-one years for works that were then already in circulation.

As the twenty-one year extension neared its end, a copyright war of sorts ensued. Known as the "Battle of the Book Sellers," London publishers sought to retain their copyright in perpetuity. The publishers presented their struggle in terms of protecting the author's rights to proprietary ownership of their work. They argued that authors should have the right not only to own, but also to sell their rights to their work in perpetuity, thus protecting the publisher's rights to copy in perpetuity. The argument was freighted with personal tragedies where "pirates" stole works from upstanding businessmen.⁴

In the end, the Statute of Anne prevailed and copyright terms were limited to a set amount of time, after which works would transfer into the public domain. This meant that an author would always be regarded as the creator, but publishers small and large

3. Hubbard, D. Intellectual Property in the Information Age. Connecticut and London: Quorum Books, 1996.
4. Ibid., p. 5-7.

Free Culture vs Permission Culture

The answers to these questions? *It depends.* This is not meant to make you panic. Of the 149 publishers included in the RoMEO publishers' copyrights database, approximately 78% allow you to retain those rights, including the right to self-archive (posting to a personal, departmental or university Web site). Those publishers include the American Physical Society, Elsevier, and Cambridge University Press.⁷ (You can access this list of publishers online at <http://www.sterpa.ac.uk/romeo.php>.)

The "Know Your Copyrights" pamphlet produced by ARL also explains that sharing your work with your students constitutes fair use, and is therefore allowed in the academic setting. But this also means that 22% of publishers included in the RoMEO database don't allow you to retain these kinds of rights to your own work. Among the publishers that don't allow you to self-archive are the American Chemical Society, the American Medical Association, and the Modern Humanities Research Association.⁸ Because the RoMEO database is not comprehensive, it is likely that other publishers also don't allow you to retain your rights.

Almost as fast we develop information sharing technology, laws pop up to govern that technology. Copyright law is constantly shifting. In his book *Free Culture*, Lawrence Lessig paints a bleak picture of how we are migrating away from a free culture that understands and values creativity and knowledge—where the best minds of the present exist because they can collaborate and build upon the creative giants of the past—toward a permission culture that seeks to define and limit the uses of culture and its future creation. In his book, Lessig outlines the ways in which the reach of copyright law has steadily expanded.

Over the last forty years, Congress has extended existing copyrights eleven times. One such addition, the Sonny Bono Copyright Term Extension Act of 1998 (CTEA), extended copyright effectively to 95 years.⁹ The law extends back to any work published after 1923 and prevents that work from passing into the public domain.

Legally, when a work passes into the public domain this means that the author is still given credit for the work, but that the work can be copied and reproduced without the specific permission of the copyright holder. As previously mentioned, in the 1800s this introduced consumer competition into the print publishing market, and the result was that copies of works such as Shakespeare's plays could be acquired for much less money. Therefore, works in the public domain were accessible to many more people and many more people could be enriched by them. Extending copyright to 95 years greatly alters this equation, especially in the context of the Internet. For example, one could scan the *Complete Poems* by Charlotte Brontë (whose works are in the public domain) and make her work freely available online to anyone with an Internet connection. (Brontë would, of course, need to be given credit for her work.) However, one could not create the same type of Website using poems by William Carlos Williams, whose work is not in the public domain.

More importantly, when a work enters into the public domain, it commonly frees others to make creative or derivative works from it. Imagine, for example, if Shakespeare's works were not in the public domain. Would the copyright holder have approved Arthur Laurents's *West Side Story* or Craig Pearce's 1996 film *Romeo and Juliet*? Copyright was originally intended to expire so that published works would enter into our body of knowledge and could be creatively used by anyone. However, the CTEA restricts those rights to a single copyright holder and requires that individuals who wish to use that work track down the copyright holder and get their permission to use it—nearly 100 years after the work was produced. Why?

7. University of Nottingham. (2006). Sterpa RoMEO Publisher Copyright Database Self-Archiving. Retrieved February 28, 2007, from <http://www.sterpa.ac.uk/romeo.php>

8. Ibid. retrieved March 12, 2007.

9. Lessig, p. 134-135.

could make copies of that work as long as they could afford the printing press technology. For the consumer, the expiration of copyright drastically reduced the cost of books, especially popular ones. In essence, the copyright limits greatly broadened the pool of those gaining access to knowledge. The decision broke the monopoly power of the booksellers, but also struck a balance between an author's rights (and by extension a publisher's rights) to profit from their creation while recognizing that knowledge is a public good. By offering a limited monopoly, publishers could profit for a time and then the works became public, more affordable, and more likely to benefit society as a whole.

In America, the Constitution gave "Congress the power to promote the Progress of Science and useful Arts, by securing for limited Times to Authors and Inventors the exclusive Right to their respective Writings and Discoveries." In order "to prevent the concentrated power of publishers," the framers of the Constitution supported a structure that kept copyrights away from publishers and kept them short," at least for the first two hundred or so years (Lessig, 2004, p.130-131).

Fast Forward: Publishing Goes Digital

Now it is 2007. We are all publishers. We all have the power and tools to create copies. This is not some Orwellian fantasy, this is our reality. We can all think of things, write them down, take pictures or record sounds, and transmit that information to a broad range of audiences around the world. We can send an e-mail to a listserve with a readership of hundreds. We can print a thousand copies of something and have it professionally bound for very little money. The very article that you're reading right now is also published online, in a blog. (You are welcome to log on and publish your thoughts on this issue for the world to read at <http://lib.culstate.edu/blogs/libraryconnection/>.)

In this market, traditional publishing still happens and copyrights are still exchanged. Each of you will probably publish one or more articles in a peer-reviewed journal this year. Chances are that your work will end up in an online version of the journal, or perhaps will only be published online when the journal publisher eliminates print versions to take advantage of the high speed and low cost afforded by the Internet. Therefore, publishing in this traditional fashion supports a broad-based dissemination of your work.

But, by giving publisher's the rights to disseminate your work, does this exclude you from exercising your own right to share your work with students and colleagues with the ease and convenience of the digital environment? Can you send the link of your work to a listserve of your colleagues? Can you reproduce a copy of your work to share with your class? Can you post your work on a personal, departmental, or university Web site? What if your library doesn't own the journal you've published in? What if your colleagues' libraries don't own the journal you've published in? If a few years from now, the journal in which you've published goes under, what happens to your work?



5. Lessig, J. *Free Culture*. New York: Penguin Press, 2004

6. Cartoon Credit: www.cartoonistsuck.com

Arguably, the CTEA provides important benefits to those whose works are still commercially viable. The law has enabled copyright holders who retain the rights to profitable works to make money off of them. For example, Disney still owns Mickey Mouse, and Robert Frost's estate still owns the rights to his collection, *New Hampshire*. However, what about works that are no longer commercially viable? What about works that are orphaned or have gone out of print? What about works that could and should be shared with the masses? What about works that other, creative minds wish to use as springboards?

Copyright requires no registration. There is no system of tracking copyright ownership. Therefore, if someone wanted to digitize these abandoned works to make them available again to the public they would first have to track down the copyright holder, which takes a tremendous amount of time and considerable effort.

In 1930, 10,047 books were published. In 2000, 174 of those books were still in print.¹⁰ Unless it is stored in optimal conditions, the average shelf life of a book is 50-60 years. Legally, a library must go to extensive lengths to prove that it is not violating copyright to "save" copies of these works. Most often, the library can make a print photocopy, but that too that will degrade overtime. It cannot, however, make a digital copy that could be more readily stored and used.

The situation is perhaps more dire for film. The Museum of Modern Art houses 13,000 American films, over half of them are orphaned¹¹ and they are degrading as you read. Under the CTEA, they cannot be digitized or restored without permission, despite the fact that no one is claiming them. One hundred years from now, when and if their copyright expires, they will already be lost.

Likewise, if someone wanted to recreate a work in a new medium, such as making a book into a Web site or film, finding the copyright holder of an out-of-print work presents a daunting and sometimes impossible task. This begs the questions: In an effort to protect icons, what elements of our culture are being lost? What future creativity is being hampered?

Copyright as applied in the digital environment has also come to restrict the use of material far beyond the restrictions enforced in print. Traditional copyright protects only the first sale, meaning that once you've bought a book, CD, newspaper, magazine, etc, you are free to read it one hundred times, give it to a friend who can then give it to another friend, sell it at a used media store, or donate it to a library.

The Digital Millennium Copyright Act (DMCA) of 1998 changed all that. The act was aimed at enforcing copyright in the digital environment. However, the restrictions enacted by that law and the technology needed to enforce those restrictions severely limits our rights to digital materials that we've paid for—much more so than copyright law for print materials.

The DMCA effectively rendered behavior that was previously legal suddenly illegal. Under the DMCA, we cannot share purchased materials peer to peer (even if it's to a single friend, just like you would have done with that printed book). Access to materials can be restricted by digital publishing technology so that individuals can no longer read a book as many times as we want as we could have with a printed book. And forget about selling those items at a used media store or donating them to a library.

In other words, if you purchase a printed book, you can give it to a friend, if you purchase and download an Ebook and give that to a friend, you are committing an act of piracy. When a library purchases a print magazine, anyone could walk into the library and read it. When a library purchases rights to an online journal, the license may restrict access to only those who are formally affiliated with the institution that signed the contract and is paying for access. If you purchase a CD, you can sell it; any used

music store and collect the profits. You could not do the same with the MP3 files of the same CD, even if you were to delete them completely from your computer.¹²

The DMCA is recognizable an industry reaction to the fact that items in a digital environment can be shared much more readily. An Ebook could be sent to 100 people by email, much like a music file could be sent to 10,000. These acts have been rendered illegal. Yet in doing so, we have allowed the passage of a law that exponentially expands other's control over how we use knowledge and ideas that we have bought and paid for. Is there a better balance that might be struck?

Current Standings

Regardless of where you fall in the copyright debate or the degree to which you view knowledge as individual property, a public good, or a mix of both, the reality is that something isn't working with the current state of copyright law. The forces of copyright and ownership and being paid for distributing intellectual property don't balance with the free exchange of knowledge and ideas in the way Internet technology can facilitate. There is evidence of this everywhere across all disciplines.

According to a recent survey conducted by the American Association for the Advancement of Science, scientists used to fear that patents would limit their access to research tools and technologies; however, that concern has been replaced by an increased difficulty in getting access to data.¹³ Even though Congress has repetitively extended copyright terms over the last forty years, patent terms have been left alone and those rights expire after twenty years. The research community has long debated whether or not patents might infringe on important scientific advancement. Might this community raise the same debate around copyright, which now lasts almost a century?

The law as it stands seems also to be limiting the histories that can be told. When professors Cathy Davidson and Ada Norris sought to document the life of Yankton Nakota writer and activist Zitkala-Sa, their publisher would not even consider use of any works that fell outside of 1922, fearing the time and expense it might take to clear copyright claims.¹⁴

The law as it stands seems also to be limiting the music that can be played. Dr. Susan Pickett, Catharine Chism Professor of Music at Whitman College, writes, "I have been dealing with the problem of orphaned copyrighted works during my 15 years of research about women composers. Frankly, I can see why some people just blatantly break the law; there are so many barriers and dead ends and catch-22s that it's frustrating beyond words even to the most law-abiding person... There needs to be an international registry of people who have legal rights over music so that it's easier to find out whom to contact for permission" (Duke Law School, 2005, p.2).¹⁵

Something about regulating the exchange of information isn't working, or isn't working as efficiently as it should be. In an information age, knowledge is at our fingertips. Yet, Congress continues to enact laws that restrict access. They will continue to do this unless more people engage in the shaping of knowledge in the digital environment.

Find Out More

Additional information about copyright and digital legislation:

- **The Lessig Blog** (<http://www.lessig.org/blog/>). Author of *Free Culture*, Lawrence Lessig is a professor of law at Stanford Law School and founder of the schools Center for Internet and Society. This blog discusses current copyright law and its, ybor implications.
- **Public Knowledge** (<http://www.publicknowledge.org/>), an advocacy group working to promote and defend a "vibrant" information commons in the digital environment. The site includes resources, news releases, current legislation, litigation, and a blog on copyright and fair use policy.
- **American Library Association Copyright Page** (<http://www.ala.org/ala/advocacy/advocacy/copyright/copyright.html>) includes information on current copyright policies and debates.

13. Blumstein, G. (2007) "Study Shows Patents Don't Hurt Science," *Chronicle of Higher Education*, 53(21) p. 31.
 14. Center for the Study of the Public Domain at Duke Law School. (2005) *Orphan Works Analysis and Proposed Solutions*. Copyright Office Report No. 2005. Retrieved March 10, 2007 from <http://www.copyright.edu/orphan/sprproposal.pdf>.
 15. *Ibid.*

10. Lessig, p. 222.
 11. Center for the Study of the Public Domain at Duke Law School. (2005). *Access to Orphaned Films, Videotapes and the Copyright Office*. Retrieved March 10, 2007 from <http://www.copyright.edu/orphan/sprproposal.pdf>.
 12. The UCLA Institute for Cyberpeace, Law and Policy. (2000). *The Digital Millennium Copyright Act*. Retrieved March 8, 2007 from <http://www.gerbis.ucla.edu/ilmca.html>.

Managing Your Copyright

The great value of the Internet is that having a journal publish your work is no longer the end of the story. You have the power and tools to help distribute your own work so that it can resonate in ways never before imagined. First, you have to be sure to retain at least some of your copyright during the publishing process. Here's how:

- **Establish a Creative Commons License** (www.creativecommons.org). Creative commons is a nonprofit organization that helps "authors, scientists, artists, and educators easily mark their creative work with the freedoms they want it to carry." It allows you to copyright your work while enabling people to more readily copy and distribute your work—provided they give you credit—in the ways you want them to.
- **Publish in journals that allow you to retain your rights.** This will make it possible for you to share your work in the digital environment. The RoMEO database (<http://www.sherpa.ac.uk/romeo.php>) is a growing list of permissions that are normally given as part of each publisher's copyright transfer agreement. It is searchable by publisher and enables you to add publishers to the list. Self-archiving (posting on a personal/ departmental website or in a digital collection supported by the University) is a key right to retain so that you can create a digital copy of your own body of work.
- **Download the SPARC Author Addendum** (<http://www.arl.org/sparc/author/addendum.html>). When added to traditional publication agreements, the addendum will help you to retain more of your own rights to your journal publications and make it possible for you to more easily control your work in the digital environment (including protecting your right for online posting or using portions of your articles in future work.)

What Are Your Thoughts?

Log on to the *Library Connection* Weblog (<http://lib.colostate.edu/blogs/libraryconnection>) to post your comments on this issue.



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1019 Campus Delivery
Fort Collins, Colorado 80523-1019

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Copyeditor:
Amy Hoseth

Issue Advisors:
Catherine Murray-Rust
Patricia Smith

KU Scholar Works takes research to world. Research conducted by KU faculty members is regularly cited in publications around the world, but a new online repository is helping push it even further.

KU ScholarWorks, a digital collection of peer-reviewed research, conference papers, supplements to published items and books produced by KU faculty, has recently been made available to the public. The program stores the work and makes it easily accessible to information seekers.

Holly Mercer, coordinator of digital content development for the KU Libraries, said there are nearly 1,000 research articles and journal publications archived in the program. So far, the items have been downloaded more than 210,000 times and viewed more than 370,000 times.

Making the program available to the public has significantly increased the traffic within the program.

"People are finding the items in KU ScholarWorks," Mercer said. "It's indexed in Google and other major search engines. People are finding their way there."

The program is effective at helping people find the research for several reasons. Often people don't have access to an academic journal that publishes research useful to an individual's academic purpose. Every item in KU ScholarWorks has a permanent, citable URL that will not change. Faculty can give the URL to colleagues who request copies of publications. Plus, with the ever-increasing dependence on Internet search engines for information gathering, it makes sense to harness it as a resource to proliferate KU research, Mercer said. A digital repository also can help keep research in the public eye longer than a regularly published journal.

Mercer mentioned the long tail theory, which states that wider (electronic) distribution channels tend to increase readership for older, yet still relevant, research. Among print library collections, about 20 percent of items circulate regularly. When the idea is applied to online collections, the percentages are reversed, and about 80 percent of the content is viewed regularly.

Program's publishing power lands deal

Using the publishing power of KU ScholarWorks, Susan Craig, art and architecture librarian, helped land a partnership with AskArt.com, an online art database.

Her 2006 work, "Biographical Dictionary of Kansas Artists," is a rich collection of more than 1,700 artists who called Kansas home before 1945.

Right at home in database format, the searchable archive – or eBook – makes it possible for researchers to locate an artist by name, town or subject. KU ScholarWorks creates a living dictionary, and a stable URL allows libraries across the country to catalog the award-nominated work.

Given the depth and breadth of her project, Craig's efforts attracted the attention of AskArt.com, an online resource that features more than 52,000 American artists. The site is used primarily for collectors and art galleries, and offers a tremendous amount of information crucial to the art world.

When the president of AskArt.com contacted Craig with an offer to exchange a personal lifetime membership to their site for permission to upload "Biographical Dictionary of Kansas Artists," Craig countered with a proposal for campus-wide access. The current agreement provides six months of access campuswide, and AskArt.com has agreed to seek private support to underwrite the cost of long-term use.







"This partnership highlights the importance of KU ScholarWorks as a powerful resource in many fields," said Craig. "I'm pleased to be part of this program, and I look forward to seeing it grow in the coming years."



CASE National Gold Medal Winner

February 19, 2007 : Vol. 31, No. 11

EVENTS

1. Campus Closeup - Jason O'Connor 
2. KU School of Medicine is No. 1 in graduates entering family medicine programs 
3. Impromptu Cafe opens in KS Union 
4. NTS, IS announce merger 
5. Jayhawks adorn staffer's jewelry line 
6. Fair to mark entrepreneur week 

NEWS/ANNOUNCEMENTS

Failure to yield

Prof designs plate to help fight cancer

KU Scholar Works takes research to world

School of Pharmacy ranks third in NIH funding

Prof, student study why the same drugs affect people differently

Crawford Center begins second life

KU School of Medicine is No. 1 in graduates entering family medicine programs

Initiative will expand wireless Internet to nearly all academic areas

Why might multiple hospital affiliations benefit Kansas? Here are five reasons

Jayhawks adorn staffer's jewelry line

Construction to close some parking near stadium

NTS, IS announce merger

<http://www.oread.ku.edu/2007/february/19/world.shtml>

Three percent of the items in KU ScholarWorks have been downloaded at least 1,000 times, and 31 percent have been downloaded at least 500 times.

Allison Rose Lopez, public relations and marketing manager for Information Services, said KU ScholarWorks is taking advantage of evolving technology to archive and present the university's research.

"It's storing the information we're developing here for the KU of the future. But it's for more than just posterity. This is a new way of sharing knowledge."

More
About KU ScholarWorks

[Next Story >>](#)

KU IQ

Four students were recently nominated for Barry M. Goldwater Scholarships, regarded as the premier undergraduate award to encourage excellence in science, engineering and mathematics. Since Congress established the scholarship program in 1986, KU has produced 41 winners.

CAMPUS NEWS



Intellectual diplomacy



Expanded wireless

Impromptu Cafe opens in KS Union
Fair to mark entrepreneur week

FEATURES

- Employees of the month
- KU people
- Campus Closeup
- Snapshots
- Headliners
- Kudos
- News in brief
- In memory
- Book shelf
- Know KU
- Web works
- Campus roundup
- Tech tips
- KU Calendar of Events
- Printable OREAD

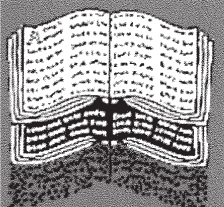
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Presentation Descriptions



UC BERKELEY ★ FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

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[Statement of Principles \(PDF\)](#)

[Executive Summary \(PDF\)](#)

A select group of Berkeley faculty and administrators met on March 31, 2005 at the Oakland Marriott City Center in downtown Oakland to discuss the critical topic of scholarly publishing.

The purpose of the meeting was to discuss changes in scholarly communication — changes that are influencing the university's ability to provide access to the information on which members of the Berkeley community base their research. As a group, they discussed how to make best use of the present publishing environment and create opportunities for the future.

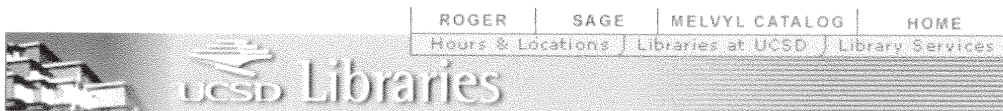
Lawrence Lessig, Stanford University Professor of Law and founder of the Creative Commons, and Bruce Alberts, UCSF Professor of Biochemistry & Biophysics and President of the National Academy of Sciences, were among the [speakers](#). Conference participants worked in smaller [breakout session groups](#) in both the morning and the afternoon to consider steps that UC and its faculty can take to reshape scholarly communication.

Conference Planning Committee: Gail Ford, James Hunt, Nicholas Jewell, C. Judson King, Anthony Newcomb, John Ober, Margaret Phillips, Elaine Tennant, Beth Weil

Sponsored by: Academic Senate Berkeley Division, Office of the Chancellor, The Library, Librarians Association of the University of California, Berkeley (LAUC-B)

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Scholarly Publishing

UCSD-Specific Documents and Information

This page will offer a growing list of presentations and publications from the UCSD Libraries and other UCSD campus-specific information about scholarly publishing and related matters.

▶ Audio and slides are available from several speakers in the 2005-06 [Faculty Club Luncheon series: Publish and/or Perish: Changes in Scholarly Communication](#): (Please see the [series page](#) for full speaker details.)

• *November 22, 2005:*

Blaise Cronin: "Authorship and Attribution; Access and Attention: Trends in Scholarly Communication" (November 22, 2005)

Audio is available in streaming RealAudio format:

[Part 1](#) (46 min) • [Part 2](#) (6 min) • [Get RealAudio player](#)

• *January 11, 2006:*

Carl Stahmer, Associate Director at Maryland Institute of Technology in the Humanities, "Scholarship in the Age of Ephemerality."

[Streaming RealAudio format](#) • [MP3 for download](#) (37MB)

Philip Bourne, UCSD Professor of Pharmacology: "Realizing the Power of Online Publishing."

[Streaming RealAudio format](#) • [MP3 for download](#) (30MB)

[PowerPoint™ slides](#) from presentation available for download.

• *February 22, 2006:*

Stephen Rhind-Tutt, CEO Alexander Street Press,

Lynne Withey, Director, [University of California Press](#) and President, AAUP

Theme: **Electronic Publication, Changing the Way your Work is Disseminated and Read**

Audio is available:

Introduction - Susan Starr: [Streaming RealAudio format](#) • [MP3 for download](#)

Stephen Rhind-Tutt: [Streaming RealAudio format](#) • [MP3 for download](#)

Lynne Withey: [Streaming RealAudio format](#) • [MP3 for download](#)

• *April 17, 2006:*

Ted Bergstrom, Professor of Economics, UC Santa Barbara

To Have and be Had: Some Economics of Academic Journals

Audio is available: [Streaming RealAudio format](#) • [MP3 for download](#)

Please note: the first few minutes of the presentation audio are missing, and Professor Bergstrom's remarks closely follow his slides - we recommend viewing the slides while listening.

The [PowerPoint™ slides](#) are also available for download.

• *May 31, 2006*

Michael Carroll, Villanova School of Law

http://libraries.ucsd.edu/services/sp_ucsd.htm

"Valuing and Managing Your Copyright in Scholarly Articles."

Audio is available: [Streaming RealAudio format](#) • [MP3 for download](#) (70MB)

The [PowerPoint™ slides](#) are also available for download.

- > [The Economics of Scholarly Publishing](#) (PowerPoint™ presentation)
Presentation by Brian E.C. Schottlaender, University Librarian at UCSD Academic Senate Representative Assembly, November 2003
- > [Academic Libraries and the Evolution of Scholarly Communication](#) (PowerPoint™ presentation)
Presentation by Brian E.C. Schottlaender, University Librarian at a UCSD Faculty Luncheon Seminar, 20 February 2003
- > [Electronic Publications Task Force Report](#) (PDF)
Report of a task force charged by UCSD Academic Affairs and the UCSD Academic Senate to investigate acceptability of electronic publications in academic reviews. April 5, 2004.
- > [Flyer: "Electronic Journal Issues"](#)
Flyer sent to Academic Senate mailing list concerning rising costs of journals and outcome of UC Libraries' negotiations with Reed Elsevier. January 2004.
- > [Flyer: "New Electronic Reprint Service"](#)
Flyer announcing the availability of the CDL e-Scholarship post-print repository, distributed to All-Academics and Key Administrators/Key Support Staff mailing lists, February 22, 2005
- > **Currents, the Biomedical Library Newsletter** featured an article on Open Access, which was followed by two faculty comments.
 - > [Winter 2004 issue](#) (PDF) - original article
 - > [Spring 2004 issue](#) (PDF) - includes faculty responses
- > [E-mail to Faculty about PubChem Debate](#) (PDF)
Content of an e-mail distribution by Susan Starr, Associate University Librarian, Sciences & Scholarly Communication, concerning the debate about the NIH [PubChem](#) database. In May 2005, the American Chemical Society called on Congress to scale back this free database, claiming unfair competition.



Official Web Page of the University of California, San Diego

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Last updated: June 15, 2006



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[Ask a Librarian](#)

[Library Home](#) > [About the Library](#) > [Collections Program](#) > [Scholarly Communication](#)

Scholarly Communication: Issues and Trends for Scholars and Librarians at Dartmouth College

Development History

The Library gave 5 presentations to the Council on Libraries, 3 in the spring of 2004, one in Spring 2005 and one in Fall 2005. It also developed documents discussing aspects of scholarly communication and drafted a web site to better present issues in scholarly communication to the Dartmouth community.

- [Scholarly Communication: Threats, Problems and Opportunitites Part 1](#)
Presentation given to Council on Libraries April 12, 2004
PowerPoint File
- [Scholarly Communication: Threats, Problems and Opportunitites Part 2](#)
Presentation given to Council on Libraries May 10, 2004
PowerPoint File
- [Scholarly Communication: Threats, Problems and Opportunitites Part 3](#)
Presentation given to Council on Libraries June 9, 2004
PowerPoint File
- [Scholarly Communication: Threats, Problems and Opportunities II](#)
Presentation given to Council on Libraries April 14, 2005
PowerPoint File
- [Scholarly Communication: An Issues Update and Discussion with the Council on Libraries](#)
Presentation given to Council on Libraries November 17, 2005
PowerPoint File

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Scholarly Communication

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RESOURCES

Nakata Lectures

["Digital Knowledge Environments: A Grand Challenge for the Humanities and Social Sciences"](#) by John Unsworth, April 28, 2006

["Universities and the Ecology of Scholarly Publication"](#) by R. Michael Tanner, April 26, 2005

["Unlocking the Value of Scientific Research"](#) by Rick Johnson, April 8, 2004

Open Access

[Timeline of the Open Access Movement](#) | [SPARC Open Access Newsletter](#)

By Peter Suber, Earlham College

[Open Access Bibliography: Liberating Scholarly Literature with E-Prints and Open Access Journals](#) [Full book in PDF]

by Charles W. Bailey, Jr., University of Houston Libraries

News

- **Issues in Scholarly Communication:** UIUC University Librarian Paula Kaufman maintains this newsletter/blog to keep readers apprised of the latest developments in scholarly communication.
- **Open Access News:** Peter Suber's frequently updated news blog focuses, as the title suggests, on developments in the open access movement, but also covers other scholarly communication areas. Suber also puts out a [monthly newsletter](#).

Taking Action

- **Scholarly Communication Toolkit:** This excellent resource from the Association of College and Research Libraries provides a concise overview of the issues. Problems are linked to direct actions that faculty, librarians, and universities can take.
- **Create Change:** Like the Toolkit, this website aims to support faculty and librarian action in creating a better system of scholarly communication.

Resources for Authors

- **Directory of Open Access Journals:** If you are interesting in submitting your work to an open access journal, you can use this directory to find titles in your field.
- **SHERPA:** Use this database to check publishers' policies on author self-archiving of pre- and post-prints.

Publishing Organizations

- **BioMed Central:** Open access publisher of peer-reviewed biomedical research.
- **Public Library of Science (PLOS):** A leading open access publisher of peer-reviewed scientific journals.
- **SPARC:** An organization that works to create and support low cost and open access scholarly journals.
- [UIC Institutional Memberships](#)

Copyright Issues

- **Copyvown:** A resource on copyright ownership for the higher education community from the University of Maryland and the Association of Research Libraries.

Scholarly Communication Sites at Other Universities

- [University of California: Reshaping Scholarly Communication](#)
- [Cornell University: Transforming Scholarly Communication and Libraries](#)



UNM

HSC | UNM | HSLIC | UNMUL

Scholarly Communication

[Symposium](#) | [The Issues](#) | [Get Involved](#) | [Links](#)

Annual UNM Symposia on Scholarly Communication

Co-sponsored by: the [UNM Office of the Provost for Academic Affairs](#), the [Office of the Executive Vice-President for Health Sciences](#), the [UNM University Libraries](#), the [Health Sciences Library and Informatics Center](#), and the [Law Library](#)

About the Symposium

Scholarly communication is changing rapidly in ways that hit at the heart of the academy across all disciplines. These trends affect how faculty, researchers, librarians, and students undertake work and have an impact on authorship, editorial boards, promotion and tenure decisions, and budgets.

The purpose of the Symposium is to raise consciousness, seek advocacy, and create a greater sense of self-determination about major issues and opportunities as they relate to the faculty of the University of New Mexico (UNM) and the future of scholarly communications on this campus. UNM faculty must be knowledgeable about the changes relative to scholarly communication. It is an important first step toward building support in the academic community for adopting new approaches to publishing and disseminating faculty knowledge. The Symposium is designed to lay the foundation for a robust campus dialogue and new initiatives.

Past Symposia

5th Annual Symposium: Navigating the Currents of Scholarly Communication: Government Mandates for Public Access to Research

Speakers:

Jean-Claude Guédon, PhD [Keynote]

Guédon's presentation was titled "Researchers and the Public Good: Why Mandating Open Access is Both Important and Fair"
[\[View streaming video of presentation\]](#)

Holly Phillips, MLIS, MS

Phillips' presentation was titled "The National Institutes of Health (NIH) Public Access Policy: UNM Author Participation and Attitudes"
[\[View streaming video of presentation\]](#)

Christine Zuni-Cruz, JD

Zuni-Cruz's presentation was titled "Putting Theory into Practice: Experience as Editor-in-Chief of the Open Access Publication *Tribal Law Journal*"
[\[View streaming video of presentation\]](#)

[\[more information about the 5th Annual Symposium...\]](#)

4th Annual Symposium: The Digital Academy: Innovations in Scholarly Publishing

Held November 1st, 2005

Speakers:

Ann J. Wolpert, MLS [Keynote]

Abby Smith, PhD

The title of her talk was "More Innovative than We Think."
[\[View streaming video of presentation\]](#)

[\[more information about the 4th Annual Symposium...\]](#)

3rd Annual Symposium: Cultural Transformation of the University's Knowledge Base

Held March 3rd, 2005

Speakers:

Daniel Greenstein [Keynote]

Greenstein's presentation was titled "Institutional Repositories: What Problems Are They Trying To Solve, For Whom, and Who Should Care?"
[\[View streaming video of presentation\]](#)

[\[more information about the 3rd Annual Symposium...\]](#)

2nd Annual Symposium: Stewardship of the University Community's Knowledge Base

Held March 12, 2004

Speakers:

Lawrence Lessig, J.D. [Keynote]

Lessig's presentation was titled "The Progress of Science: What's at Stake in the Free Culture Debate."
[\[View streaming video of presentation\]](#)

Johann van Reenan, M.S.
[\[View streaming video of presentation\]](#)

[\[more information about the 2nd Annual Symposium...\]](#)

1st Annual Symposium: The Scholarly Communication Crisis: A Call for a Public Goods Solution

Held February 27, 2003

Speakers:

David Shulenburger, Ph.D. [Keynote]

Rick Luce

UNM Faculty Panel Discussion: Moderated by Provost Foster, the panelists included Samuel Keith, MD, Department of Psychiatry; Bernard Moret, PhD, Computer Science; and Vera Norwood, PhD, Associate Dean, College of Arts and Sciences.

The past four Annual Symposia were well attended by university faculty, staff and students and generated many requests to continue the dialog. If you have any questions, or wish to provide feedback to the symposium planning committee, please feel free to contact Drs. [Camia Aling](#) or [Holly Buchanan](#).

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Presentation Handouts



UC BERKELEY ★ FACULTY CONFERENCE ON
SCHOLARLY PUBLISHING

Designing Incentives and Support

Assertion: Incentives and support can be designed to assist scholars to shift their publishing behavior:

- from high-profit commercial journals to more sustainable models
- from printed monographs to digital, print-on-demand online works
- from “smallest publishable unit” to complete research report
- by placing research into open access repositories

Question: What support and incentives (monetary, time, staffing, training, etc.) could the university offer to Berkeley authors and editors to facilitate this change?

A Few Background Facts:

Subventions are not uncommon¹:

For 1st publications:

- UT-Austin distributes \$30,000/yr using campus bookstore profits. Authors may publish with any academic press and need not be tenured to apply.
- Yale provides up to \$5,000 to younger faculty members in the humanities.
- Ohio State approves subsidies up to \$2,000, funded equally by departments and academic divisions. Others include the University of Iowa, North Carolina State University, and the University of Illinois at Urbana-Champaign.

For use of alternatives

- UNC VC for Research created a subsidy for open access publication fees

The UC Libraries have arranged memberships that assist with publication in open access journals²

Publisher or Publication	Normal publication fee	UC discounted fee	Based on
BioMed Central (all BioMed Central journals)	\$500	\$0 (100% discount)	Institutional membership
Nucleic Acids Research (from Oxford Univ. Press)	\$1500	\$500 (66% discount)	Included as part of UC's subscriptions
Proceedings of the National Academy of Science (PNAS)	\$1000 (to provide open access; separate from page and other charges)	\$750 (25% discount)	Included as part of UC's online subscription
Public Library of Science (all PLoS journals)	\$1500	\$1200 (20% discount)	Institutional membership

¹ Presses Seek Fiscal Relief in Subsidies for Authors: Universities would provide money to underwrite their professors' books. Chronicle of Higher Education. August 13, 2004.

² Maintained at http://osc.universityofcalifornia.edu/alternatives/submit_work.html



UC BERKELEY * FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

Faculty Statements and Resolutions: Excerpts

University of California, Berkeley

Statement of Principles

Advancement and Promotion: All those involved in the process of academic review will not discriminate against alternative venues for scholarly communication. As always, work will be judged based on its individual quality and scholarly content. The role of a publication in this process will be assessed according to such criteria as its demonstrated standards, degree of selectivity, and the quality of its peer review.

Support the Library: Libraries around the world are beginning to take a hard line when negotiating contracts with publishers and societies that put profits above scholarly communication. The faculty and administration of the University of California, Berkeley will support the Library's efforts to curtail unsustainable pricing structures even if this sometimes means losing access to titles.

University of California

Systemwide Library and Scholarly Information Advisory Committee (SLASIAC)

Resolution G: Digital Library Journal Collecting Principles

http://www.slp.ucop.edu/consultation/slasiac/SLASIAC_Resolution_G.html

Resolved: To align costs with value, the Committee recommends that UC libraries, in close consultation with the faculty, initiate a Systemwide review and renegotiation of the University's contracts with publishers whose pricing practices are not sustainable...

University of California, Irvine

Joint Resolution on Scholarly Communication and Faculty Copyrights

http://www.lib.uci.edu/scamp/joint_resolution.html

... Support broad access and availability of scholarly information and research to the academy and society by considering publication in high-quality journals that also have affordable pricing models that sustain wide dissemination...

University of California, Santa Cruz

Resolution on Ties with Elsevier Journals

<http://senate.ucsc.edu/col/res.1405.pdf>

The Senate also calls upon its Committee on Academic Personnel to recognize that some faculty may choose not to submit papers to Elsevier journals even when those journals are highly ranked. Faculty choosing to follow the advice of this resolution should not be penalized.

University of Connecticut

Faculty Senate resolution on the crisis in scholarly communication

<http://www.arl.org/scomm/resolutions/conn.html>

The Senate also calls on University administrators and departmental, school, college and University committees to reward efforts by faculty, staff, and students to start or support more sustainable models for scholarly communication. It calls on them to provide financial and material support to faculty, staff, and students whose work helps to ensure broad access to the scholarly literature. It also calls on professional associations and the University to invest in the infrastructure necessary to support new venues for peer-reviewed publication.

<http://www.lib.berkeley.edu/scholarlypublishing/handouts.html>

Cornell University

Faculty Senate Resolution regarding the University Library's Policies on Serials Acquisitions, with Special Reference to Negotiations with Elsevier

<http://www.library.cornell.edu/scholarlycomm/resolution2.htm>

Recognizing that the increasing control by large commercial publishers over the publication and distribution of the faculty's scholarship and research threatens to undermine core academic values promoting broad and rapid dissemination of new knowledge and unrestricted access to the results of scholarship and research, the University Faculty Senate encourages the library and the faculty vigorously to explore and support alternatives to commercial venues for scholarly communication.

Indiana University

Resolution on Journals, Databases, and Threats to Scholarly Publication

Approved by the Bloomington Faculty Council: March 2, 2004

<http://www.indiana.edu/~bfc/docs/AY04/circulars/B39-2004.htm>

Additional steps should be taken by individuals in the course of their scholarly activities to support publishers whose business practices tend to make the products of scholarly activity more widely available and affordable. Faculty and staff may wish to separate themselves from publishers whose business practices do not support open access ... In tenure and promotion decisions faculty and staff must be confident that there is departmental and university support for their decisions to publish in referred journals with more open access.

Stanford University

Faculty Senate Minutes

<http://news-service.stanford.edu/news/2004/february25/minutes-225.html>

Faculty, especially senior faculty, are strongly encouraged in the future not to contribute articles or editorial or review efforts to publishers and journals that engage in exploitive or exorbitant pricing, and instead look to other and more reasonably-priced vehicles for disseminating their research results.

University Resolutions on Scholarly Communication – Essential and Common Elements

Explicit Element	UCB	UCOP	UCI	UCSC	Cornell	Indiana	Stanford	Conn
Action is mission critical		x						
Provide leadership to academy	x	x			x			
Inform/educate ourselves						x		x
Manage copyrights	x	x	x	x				
Evolve tenure & reward system	x	x		x				
Encourage/Support library efforts to change marketplace	x	x			x	x	x	
Support affordable journals (or resist involvement with high-priced journals)		x	x			x	x	x
Use alternative forms of publication	x		x	x	x			x
Use/support "open access" venues/models		x						
Provide incentives/subventions for change	x	x						x
Use influence as authors				x				x
Use influence as editors				x				x

4/15/05

Publishing Models

Model	Access	Who Pays	Peer Review	Examples
Commercial Publisher	Restricted	Subscriber	yes	Elsevier (see chart on verso)
Open Access	Unrestricted	Author/Sponsor	yes	PloS BioMed Central See DOAJ ²
Hybrid				
Fee for Access/ Free After Delay	All articles restricted for a period after initial publication, ³ then freely available ³	Subscriber	yes	195 HighWire journals Science Journal of Biological Chemistry
Fee for Access/Open Access Options	Some articles unrestricted, some restricted ⁴	Subscriber Author/Sponsor	yes	PNAS Springer Nucleic Acids Research
Digital Repository	Unrestricted	Institution	Sometimes (depends on content type and policy)	eScholarship Postprint Server DSpace (MIT)
Preprint Server	Unrestricted	Grant funding to Archive	Post-publication	www.arXiv.org

² Directory of Open Access Journals: <http://www.doaj.org/>

³ Some HighWire journals make their content available for free, typically after 12 months.

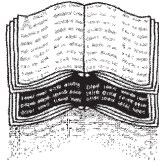
⁴ For example, in Nucleic Acids Research, UC faculty can pay \$500 for their article to be Open Access.

Commercial Publisher Mergers and Acquisitions

This chart indicates the consolidation of control of commercial scholarly publishers over the last 15 years. 37 publishers are now controlled by 6 entities. "In the biomedical field alone, significant price increases occurred in 10 of the 11 mergers."¹

Reed Elsevier	Taylor & Francis Informa	Wolters Kluwer	Candover & Cinven	Wiley Blackwell	Verlagsgruppe George von Holtzbrinck
~1800 journals Academic Press Cell Press Congressional Information Service Elsevier Engineering Information Excerpta Medica Harcourt Morgan Kaufmann Mosby Pergamon Press Urban & Fischer WB Saunders	~1000 journals AA Balkema BIOS Scientific Publishers CRC Press Curzon Press Gordon & Breach Harwood Academic Marcel Dekker Routledge Swets Zeitlinger Taylor & Francis Garland Science	~275 journals Lippincott Williams & Wilkins Adis International	~1350 journals Kluwer Plenum Springer	~1250 journals A. R. Liss GIT Verlag Scripta Technica VCH Wiley Interscience Blackwell Publishing Blackwell Publishing Asia Blackwell Synergy Munksgaard	~70 journals Nature Publishing/Macmillan Scientific American WH Freeman Bedford, Freeman Worth

¹ Publisher Mergers: A Consumer-Based Approach to Antitrust Analysis. Susman, Carter, Ropes & Gray, and the Information Alliance. June 2003. <http://www.arl.org/bnr~doc/whitepaperv2final.pdf>
Source: The Academic Publishing Industry: A Story of Merger and Acquisition: <http://www.niulib.niu.edu/publishers/>



UC BERKELEY * FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

Working with Societies

Societies are the original scholarly publishers and crucial stakeholders in building sustainable, effective, healthy scholarly communication. Over time, some societies have contracted with commercial publishers, and in some cases have come to consider their journals to be a primary source of revenue. The introduction of profit into the scheme of scholarly communication is having, perhaps unintended, and unwanted consequences. Scholars may want to engage their societies on the issue of how best to weigh profit against timely and world-wide dissemination of research.

Societies Make Choices:

Some societies have opted for maximizing publishing revenues.

The American Association for the Advancement of Science (AAAS), for example, netted \$34,520,893 in 2002, a whopping return on their investment of almost 17%. In that year, membership dues provided 26% of total income, while the other 74% came from revenues associated with the journals they published (subscriptions, advertising, and reprint & licensing fees).

Other societies dedicate themselves to cost-recovery.

For 2005, The American Physical Society (APS) will cut rather than increase prices to libraries. "APS will begin to reverse the trend of increasing prices by taking advantage of the cost reductions made possible by technology. For example, said McIlrath, software that automatically copyedits and formats manuscripts greatly reduces the manpower needed. Also, almost all manuscripts are now submitted on-line, saving the cost of having to reenter them." Price cuts will be tiered to the size of the subscribing institution, with cuts ranging from .5% to 3%. (<http://www.aps.org/apsnews/0704/070402.cfm>)

And others experiment with new business models.

The Optical Society of America's *Optics Express* was founded in 1997 as an open access journal. "From the beginning, OSA designed *Optics Express* to be an 'author-centric' journal. Its online peer-review process and rapid turnaround from submission to publication – averaging 47 days – were groundbreaking steps. Free publication of color figures and acceptance of all kinds of multimedia also helped boost the journal's standing among authors...OSA elected to make access to articles free and recover costs through a publication fee (\$500). This has proven not to be a barrier to submission, and the journal never refuses a worthy article because the author cannot afford the fees. By 2002, *Optics Express* broke even, with a revenue covering staffing, overhead and development costs, and this year, OSA will generate a modest net surplus." (from OSA NEWS, December 7, 2004, <http://www.osa.org/news/release/12.2004/sparc.asp>)

continued on verso

A Few Background Facts

Price per page, for-profit vs. non-profit*

Field	PRICE per PAGE	
	For-profit	Non-profit
Ecology	\$1.19	\$0.19
Economics	\$0.81	\$0.16
Atmos. Sci.	\$0.95	\$0.15
Mathematics	\$0.70	\$0.27
Neuroscience	\$0.89	\$0.10
Physics	\$0.63	\$0.19

Historically, journals from non-profit publishers, including societies, are significantly less expensive than journals from commercial publishers.

*Source: Carl T. Bergstrom and Ted C. Bergstrom. *The economics of scholarly journal publishing*. September 2002. <http://octavia.zoology.washington.edu/publishing/intro.html>

Society journals: average price increases (1998-2003)**

Year	CPI	US society journals
1998	1.6%	8.6%
1999	2.2%	11.3%
2000	3.4%	8.8%
2001	2.8%	6.9%
2002	1.6%	7.2%
2003	2.3%	6.8%
Average	2.5%	7.7%

While generally less expensive than for-profit journals, society journals have average yearly price increases that are much higher than inflation.

**Sources: The annual average price changes for U.S. society journals were from the Allen Press annual studies. Consumer Price Index is from the U.S. Department of Labor.

continued on verso

4/15/05

<http://www.lib.berkeley.edu/scholarlypublishing/handouts.html>

Societies Make Choices (continued)

Some societies provide free access after a delay.

Some societies choose to make their material freely available three to 24 months after an initial subscription-only access period.

Currently, 195 society journals published by HighWire Press follow this practice creating a large archive of free full-text science. As of 3/28/05, HighWire is assisting in the online publication of 842,357 free full-text articles for a list of free HighWire journals, see <http://highwire.stanford.edu/lists/freetart.dtl>

Some societies have chosen cost-effective publishers.

BioOne provides integrated, cost-effective access to a thoroughly linked information resource of interrelated journals. Focusing on the biological, ecological and environmental sciences, BioOne covers 73 journals from 58 publishers. BioOne is the product of innovative collaboration between scientific societies, libraries, academe and the private sector. Visit BioOne at <http://www.bioone.org>

A Few Background Facts: (continued)

Society journals published by commercial publishers: average price increases***

Discipline	Average price increases (2003/2004)	Number of titles
Hum/SS	15.7%	30
STM	19.4%	30
All	17.6%	60

Societies often partner with commercial publishers. The effect can be dramatic price increases as demonstrated above in the list of price increases for a sample of society titles now published by Blackwell.

***Source: compiled by the UC Office of Scholarly Communication using data from Ulrich's Guide to Periodicals.

Society Members Can Make a Difference

- encourage your association to explore alternatives to contracting or selling publications to commercial publishers
- encourage your association to maintain reasonable prices for its published products and to establish access terms that are friendly to faculty and other users
- encourage your scholarly society to consider creating enhanced competitors to expensive commercial publications

from "Putting You Back in Control," Create Change website, <http://www.createchange.org/faculty/issues/putting.html>



UC BERKELEY * FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

The Monograph

Scholarly monographs have long been viewed as the “gold standard” for scholarship in the humanities and social sciences. Over the last several years, however, we are hearing significant worries about the long-term viability of the monograph from scholars, publishers, and libraries alike.

- Young scholars feel they must have one, or maybe even two monographs in their portfolio to qualify for tenure.
- University presses report ever-increasing difficulty in finding markets for the scholarly monograph, at the same time that sources of revenue other than sales (e.g., subsidies from campuses, endowments and grants) have shrunk or disappeared altogether.
- Library budgets have not kept pace with inflation; libraries are struggling to purchase both electronic and print resources in all fields while the volume of monographic material keeps rising.

In a nutshell,

“Tenure committees usually judge the merits of young scholars by how deeply and knowledgeably they expand on previous research, but they must publish their work in presses that are increasingly making decisions on the basis of breadth and crossover appeal rather than scholarly depth.”¹

Demand for outlet is up

- “Schools that once considered a group of articles acceptable evidence for tenure now routinely demand a published book; other schools have begun to make the transition from requiring one book to requiring two.”²
- “The publication record of faculty achieving tenure has increased since the 1970s, suggesting that requirements for promotion and tenures in CIC schools have increased...Of faculty tenured since 2000, ...89% had one or more completed manuscripts at the time they were considered for tenure. Of the faculty tenured prior to 1980, fewer than two-thirds report having a completed manuscript at the time they were considered for tenure.”³
- “From 1986 to 2002...the world-wide production of books increased approximately 50 percent”⁴
- “Based on preliminary figures, Bowker is projecting that U.S. title output in 2003 increased a staggering 19% to 175,000 new titles and editions, the highest total ever recorded.”⁵

Who’s selling? Who’s buying? Prices and Budgets.

Inflation occurs with monographs as it does with journals, and as with journals, non-profit publishers tend to set better prices than for-profit publishers.

Percentage increases 1986-2000 for ARL Libraries	
consumer price index	68%
monograph unit cost	82%
monograph expenditures	66%
monographs purchased	0%

Percentage increases 1989-2000	
consumer price index	39%
average suggested retail price of a scholarly book, university presses	14%
average suggested retail price of a scholarly book, commercial scholarly presses	23%

¹ The Future of Scholarly Publishing, MLA Ad Hoc Committee on the Future of Scholarly Publishing. http://www.mla.org/resources/documents/issues_scholarly_pub/repview_future_pub

² Ibid.

³ *The Book as the Gold Standard for Tenure and Promotion in the Humanistic Disciplines: Findings and Analysis*. Leigh Estabrook. <http://lrc.lis.uiuc.edu/reports/CICBook.html>

⁴ *The Facts: The Economics of Publishing*. The Office of Scholarly Communication, University of California. http://osc.universityofcalifornia.edu/facts/econ_of_publishing.html

⁵ *U.S. Book Production Soars to 175,000 New Titles in 2003; Trade Up, University Presses Down*. Bowker News Release. May 2004. http://www.bowker.com/press/bowker/2004_0527_bowker.htm



UC BERKELEY * FACULTY CONFERENCE ON SCHOLARLY PUBLISHING

Who's selling? Who's buying? Prices and Budgets (continued)

University Presses

Although a subset of monographs purchased by Libraries come from university presses, their missions and that of the academy are closely linked. The view from the university press underlines the challenges faced by all who wish to publish a monograph:

- "1 book in every 10 new books published in the United States is published by a university press."⁶
- "The American Association of University Presses reports that overall sales in the industry decreased by 1.5% in 2003, on top of a .3% reduction in 2002 and a 2.6% drop in 2001."⁷
- "While print-runs of 1,000 to 1,500 copies were standard ten years ago [1987], [university] presses are now confronting sales of 400-500 copies."⁸
- "...about 75% of the domestic sales revenue for university press books is coming from individuals buying through a bookstore, online retailer, or direct from the publishers, and about 25% from institutional purchasers, most of them libraries."
- "...whereas we could once count on selling about 800 copies to libraries worldwide, we are now lucky if we can sell 200. And scholars are no longer buying as many books for their personal libraries, either...If print runs get much smaller, the question arises, Why publish at all? And if prices go much higher, scholars...may simply refuse to buy..."⁹

Are monographs our best choice?

Advances in pre-print and post-print technologies, together with the rising interest by scholars in access to materials online, offer new opportunities and raise questions the academy has begun to address:

- "We asked faculty members to rank some of the advantages of and incentives to use of electronic publishing. Most frequently cited were: (1) wider dissemination; (2) lower publishing delay; and (3) allows multimedia and hyperlinked components."¹⁰
- "The survey of faculty also asked 'As you think about the nature of your current research and the best ways to publish it, is a book length manuscript the best way in which to present your work?' Fewer than half ...stated 'Yes a book length manuscript is needed to develop fully the logic of my argument and ideas.' An additional 35.4 percent stated they would 'prefer to publish as a book; but it would be possible to break down the work into a series of articles.'"¹¹
- "I predict that the genre of scholarship that will replace the book will be the thematic research collection... I think they may be more viable, because they have something that most scholarly books do not, namely an audience. It's hard to sell five hundred copies of most humanities monographs; few sell in the thousands. And yet, these Web-based projects, on relatively esoteric subjects, receive thousands of visitors each day, serve up gigabytes of their content to avid users each week, and reach readers of all ages, inside and outside academia, and around the world."¹²

⁶ *Some University Press Facts*. <http://www.aaupnet.org/aboutup/upfacts.html>

⁷ *The University Press Publishers: Sidestepping Fate*. Niko Pfund. from *We're Not Dead Yet!*, November 15, 2004. *Library Journal*. <http://www.libraryjournal.com/article/CA479162.html>

⁸ *University Presses: Balancing Academic and Market Values*. Mary Case. *ARL: A Bimonthly Newsletter of Research Library Issues and Actions*. <http://www.arl.org/newsltr/193/up.html>

⁹ *Researching Specialized Audiences: The Publisher's Conundrum*. Joanna Hitchcock, Director, University of Texas Press.

¹⁰ *The Book as the Gold Standard for Tenure and Promotion in the Humanistic Disciplines: Findings and Analysis*. Leigh Estabrook. <http://lrc.lis.uiuc.edu/reports/CICBook.html>

¹¹ *Ibid.*

¹² *The Crisis in Scholarly Publishing in the Humanities*. John M. Unsworth. *ARL Bimonthly Report* 228, June 2003. <http://www.arl.org/newsltr/228/crisis.html>



Cornell University Library

SCHOLARLY COMMUNICATION: ISSUES AND SERVICES

The Library's Scholarly Communication page can be found at <http://www.library.cornell.edu/scholarlycomm/>

How to ensure that your publications are (a) broadly disseminated and actively used and (b) securely preserved for the long term:

**Know your publisher.
Manage your copyright.
Store your stuff.**

Specifically:

1. Pick a publisher that charges the buyer a reasonable price. Some publications, especially commercially published subscriptions, have become prohibitively expensive to sustain.

- For examples of expensive Cornell subscriptions, see <http://www.library.cornell.edu/scholarlycomm/10most.html>.

The California Digital Library has an excellent section on the economics of publishing at their Reshaping Scholarly Communication website at http://osc.universityofcalifornia.edu/facts/econ_of_publishing.html

2. Publish in open access journals. These are journals that are freely accessible to anyone online. They are cataloged in (and accessible through) many academic library catalogs, including ours.

- You can find a list of currently published open access journals at <http://www.doaj.org/>. All of these journals are subject to quality control, and most are peer reviewed.

3. Make your article (or book) openly accessible online before or after its publication. See a list of publishers that permit this at <http://www.sherpa.ac.uk> (click on "SHERPA/RoMEO Publishers' Copyright Listings," and then click on "view all publishers").

- If your publisher is not on the SHERPA list, you will need to make adjustments to your copyright agreement before signing it. The easiest way to do this is to add an addendum to your copyright agreement. See <http://www.arl.org/sparc/author/addendum.html>.

- For questions about copyright agreements and the copyright of your own publications, contact Peter Hirtle (pbh6@cornell.edu). For questions about obtaining copyright permissions or for help investigating the copyright status of a work, contact the general copyright information mailbox at copyright@cornell.edu or Fiona Patrick at 5-1830. See also the Cornell copyright page at <http://www.copyright.cornell.edu>.

4. Use a Repository. The best place to put your openly accessible article (or book) is in an institutional or disciplinary repository. If that repository is maintained by a library, your publication will be preserved for the long term, and will be accessible through standard search engines such as Google.

- The Cornell University Library maintains two repositories: a general institutional one (DSpace) and a disciplinary one (arXiv) for physics, computer science, mathematics and quantitative biology. Information about using both of these repositories will be found below.

5. Found and publish your own peer-reviewed journal or series.

- The Library's Center for Innovative Publishing can provide you with advice and software to publish your own journal or series. For further information, see below.

CENTER FOR INNOVATIVE PUBLISHING

The Library's Center for Innovative Publishing (CIP) is a field station for the design, deployment, and effective management of on-line publishing projects from Cornell University, as well as other academic communities, university presses, and scholarly societies. Services and projects currently under the auspices of the CIP include Project Euclid, the on-line version of the journal, *Indonesia*, and DPubS v.2 (under development).

<http://www.library.cornell.edu/dlit/cip.html>

PROJECT EUCLID

Project Euclid is a user-focused publishing service design to meet the unique needs of independent and society publishers of mathematics and statistics journals. Euclid was funded in 2000 by the Mellon Foundation. Today it supports 40+ journals and 100+ subscribers to its aggregation, Euclid Prime.

<http://projecteuclid.org>

ARXIV

A groundbreaking user-driven service for the efficient on-line dissemination of research results in physics, mathematics, non-linear science, computer science, and quantitative biology. The arXiv was launched in the summer of 1991 by Paul Ginsparg, then a member of the research staff at the Los Alamos National Laboratory. Now managed by the Library, the arXiv current hosts ~330,000 pre-prints with an average submission rate of ~4000 papers per month.

<http://arxiv.org>

DSPACE

DSpace is an open source digital repository system that captures, stores, indexes, preserves, and redistributes an organization's research data. DSpace was originally developed at MIT in collaboration with H-P Labs. It is currently deployed at 100 institutions worldwide.

<http://dspace.library.cornell.edu>

DPUBS

DPubS (Digital Publishing System) is a modular on-line publishing system designed for the cost-effective management and distribution of scholarly publications (journals, conference proceedings, monographs). DPubS was developed at the Cornell University Library and it is currently utilized by Project Euclid, the journal, *Indonesia*, and a number of important digital collections within the Library. DPubS v.2 is under development and will be released as an open source toolkit in mid-2006.

<http://dpubs.org>

<http://www.library.uiuc.edu/scholcomm/documents/SC notes for librarian discussions-2006.doc>

Scholarly Communication – Discussion with the Divisions

Katie Newman, May, 2006

Dialogue — what innovations / issues in your areas?

We all know there's a crisis as far as journal prices are concerned. But beyond this is the issue of how scholarly communication has changed in this highly changing, electronic, web-based environment!

You won't win any converts / listeners from the faculty if you just whine about journal prices. Rather, a way to get their attention is to **talk of the greater impact / readership their articles will have if they have them in a open access environment.** More readers, more discovery, more users, more citations!

SC Website – a resource for you and for your patrons!

<http://www.library.uiuc.edu/scholcomm/>

At the website you'll find:

- **Book and Journal costs, 1986-2002**, http://www.library.uiuc.edu/scholcomm/journalcosts_chart.htm
- **Sherpa database**, which details permissions that are normally given as part of each publisher's copyright transfer agreement <http://www.sherpa.ac.uk/romeo.php>
- **DOAJ** (Directory of open access journals), <http://www.doaj.org/>, to find an OA journal in a particular subject area.
- **An addendum you can add to copyright transfer form**, retaining some rights, <http://www.arl.org/sparc/author/addendum.html>
- **Glossary of SC terms:** <http://www.library.uiuc.edu/scholcomm/glossary.htm>
- Link to article detailing **OA coverage in ISI**
<http://www.thomsonscientific.com/media/presentrep/essayspdf/openaccesscitations2.pdf>

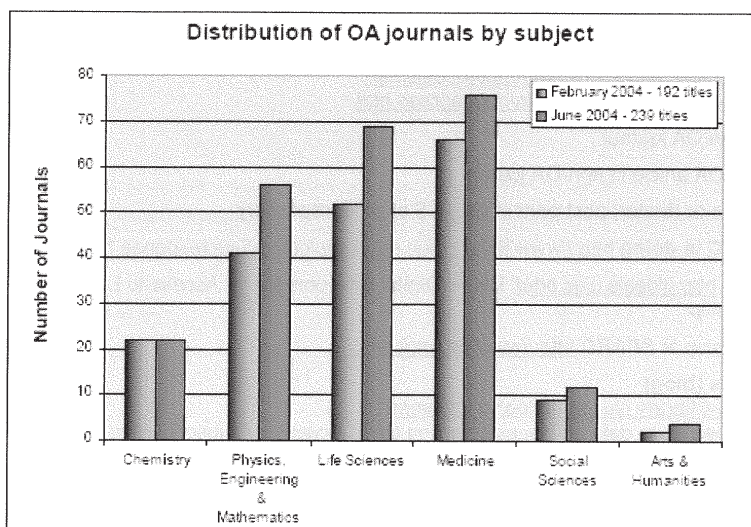
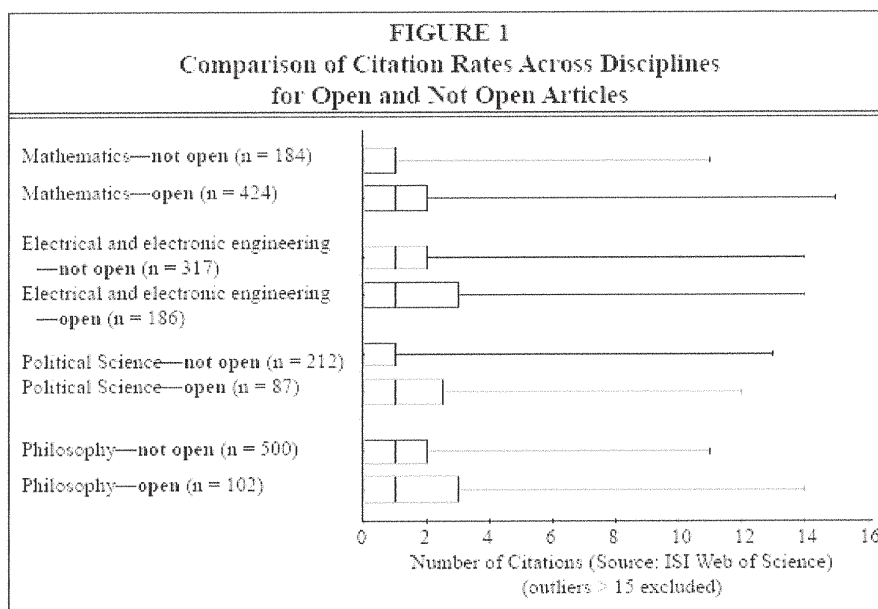


Figure 1: Change in coverage of OA journals from February 2004 to June 2004.

<http://www.library.uiuc.edu/scholcomm/documents/SC notes for librarian discussions-2006.doc>

- Antelman, K (2003). "Do Open Access Articles have a Greater Research Impact?" College and Research Libraries, September 2004. Available at: http://www.lib.ncsu.edu/staff/kantelman/do_open_access_CRL.pdf



- Note: for MANY other studies on the effect of OA, see the constantly updated bibliography started by Hitchcock, "The effect of open access and downloads ('hits') on citation impact: a bibliography of studies", <http://opcit.eprints.org/oacitation-biblio.html>
- Peter Suber's "What you can do to promote Open Access, <http://www.earlham.edu/~peters/fos/do.htm#faculty>
- Learn about new publishing models, and options to make an article open access – <http://www.library.uiuc.edu/scholcomm/pubmodels.htm>
<http://www.library.uiuc.edu/scholcomm/openaccess.htm>
 - Publish in OA journal
 - Publish OA article in non-OA journal
 - Place pre or (better) post-print in IDEALS or other repository
- Learn what UIUC is doing <http://www.library.uiuc.edu/scholcomm/uiucresponse.htm>
 - IDEALS <http://ideals.uiuc.edu/> Illinois Digital Environment for Access to Learning and Scholarship
 - Membership in SPARC <http://www.arl.org/sparc/>
 - SC News (blog) <http://www.library.uiuc.edu/blog/scholcomm/>
Note: keep up to date on issues involving Open Access by subscribing to or visiting Peter Suber's Open Access News, <http://www.earlham.edu/~peters/fos/fosblog.html>

<http://www.library.uiuc.edu/scholcomm/documents/SC notes for librarian discussions-2006.doc>

o **2003 UIUC Senate resolution on scholarly communication:**

The Committee believes that full access to the published literature is critical for scholarly activities and must be maintained. The Committee would like the Senate to approve the following recommendations:

1. that the Library and the faculty work to reduce costs of journals by applying pressure communicating concerns to publishers,
2. that the Senate engage faculty in debate on this issue in order to encourage the faculty to apply such pressure facilitate such communication,
3. that the University encourage alternative publishing models, especially electronic publishing,
4. that the Senate consider the implications of electronic communication to the promotion and tenure process,
5. that the Senate endorse the Tempe Principles.

SC: Let our researchers know they have options; don't have to sign away their copyrights, or lose all control over their work.

Take a look at some other repositories, to see what IDEALS can become!

- **Oregon's Scholars Bank:** <https://scholarsbank.uoregon.edu/dspace/index.jsp> (2291 OA records)
- **MIT's DSpace:** <https://dspace.mit.edu/index.jsp> (19652 records)
- **California's e-scholarship repository:** <http://repositories.cdlib.org/escholarship/> (11469 OA records)
- **Cornell's Open Access Repository: Open Access Repository** (?? Records)
- **U Mich Deep Blue:** <http://deepblue.lib.umich.edu/index.jsp> (23903 OA records)

Search multiple repositories

- **OAISter:** <http://oaister.umd.umich.edu/> (7,328,353 records from 634 institutions). Search across hundreds of institutional repositories.

Search for an appropriate repository:

- **ROAR:** (Registry of Open Access Repositories); <http://archives.eprints.org/> (673 archives) Useful to gauge the number of entries in repositories, and to discover them.
- **OpenDOAR:** (Open Directory of Open Access Repositories); <http://www.opendoar.org/> Use this to find a repository that includes a given subject or is located in a particular country (number of repositories in the subject shown in parentheses; 2120 total):

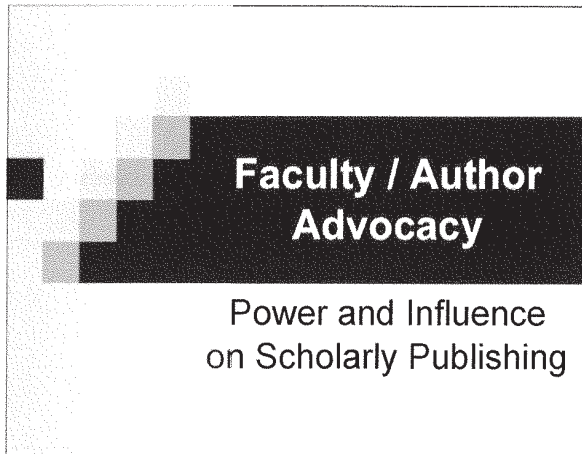
Agriculture and Food Sciences (66)	Languages and Literatures (144)
Arts and Architecture (122)	Law and Political Science (161)
Biology and Life Sciences (154)	Mathematics and Statistics (157)
Business and Economics (168)	Philosophy and Religion (116)
Chemistry (120)	Physics and Astronomy (133)
Earth and Environmental Sciences (147)	Science General (87)
Health Sciences (145)	Social Sciences (251)
History and Archaeology (126)	Technology and Engineering (235)

<http://www.library.uiuc.edu/scholcomm/documents/SC notes for librarian discussions-2006.doc>

Subject Repositories... (note: some publishers only allow deposits into institutional repositories, not into for profit subject-based archives)

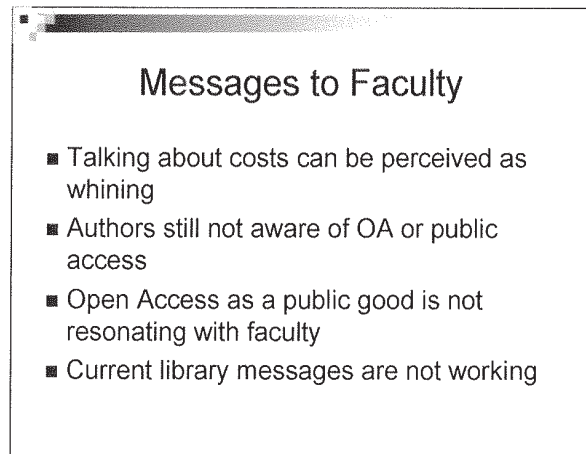
- **RePEc (Research Papers in Economics):** <http://www.repec.org/> 178,000 working papers; 192,000 journal articles; and more
- **E-Lis: Research in Computing and Library and Information Science,** <http://eprints.rclis.org/>
As of 5/06: 3700 entries
- **DLIST: Digital Library of Information Science and Technology:** <http://dlist.sir.arizona.edu/>
Browse by author, year, subject, and type of material. As of 5/06: nearly 600 entries.
- **PhilSci Archive.** An Electronic archive for preprints in the philosophy of science. <http://philsci-archive.pitt.edu/> As of 5/06: nearly 1000 entries.
- **History and Theory of Psychology.** A free service to the community of scholarly historians and theoreticians of psychology with the goal of promoting the rapid dissemination of new work in the field. <http://htpprints.yorku.ca/> As of 5/06, 107 entries.
- **Digital Library Network for Engineering and Technology,** <http://www.dlnet.vt.edu/> Not primarily a journal article archive, rather it is a repository of "Learning Objects" as well as a platform for information discovery, interaction, content-building and distribution that will support pedagogy and learning in Engineering and Technology Covers all areas of engineering: Aerospace/Aeronautical | Bioengineering | Chemical | Civil | Electrical | Environmental | Industrial and Systems | Information and Communication Technologies | Materials Science and Engineering | Mechanical | Mining | Computational Methods | Engineering Education | Professional Development
- **Teaching and Learning Research Programme,.** <http://www.tlrp.org/dspace/index.jsp> As of 5/06, nearly 500 submissions.
- **arXiv.org,** e-print archive for physics, mathematics, and related fields such as qualitative biology, <http://arxiv.org/> As of 5/17/06, there were 368,128 submissions!
- **PubMed Central,** Archive of life sciences journal literature at the U.S. National Institutes of Health (NIH), developed and managed by NIH's National Center for Biotechnology Information, <http://www.pubmedcentral.nih.gov/> As of 5/06 after one year of operation there were nearly 2500 author-submitted manuscripts as well as publisher-submitted archives from about 250 journals.

Presentation Slides

A graphic with a black background on the right side containing the text "Faculty / Author Advocacy" in white. The left side has a white background with a grey and black step-like pattern.

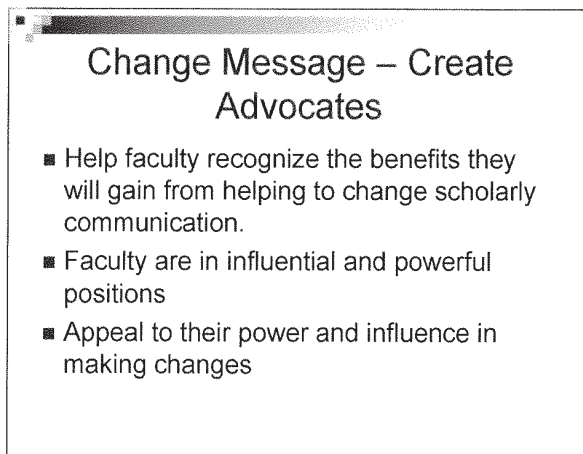
**Faculty / Author
Advocacy**

Power and Influence
on Scholarly Publishing

A slide with a white background and a grey header bar.

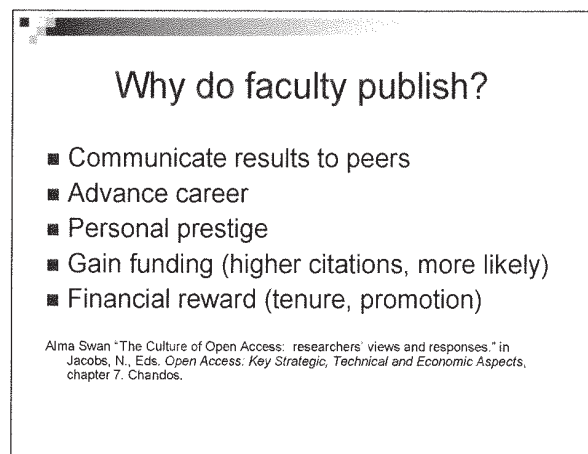
Messages to Faculty

- Talking about costs can be perceived as whining
- Authors still not aware of OA or public access
- Open Access as a public good is not resonating with faculty
- Current library messages are not working

A slide with a white background and a grey header bar.

**Change Message – Create
Advocates**

- Help faculty recognize the benefits they will gain from helping to change scholarly communication.
- Faculty are in influential and powerful positions
- Appeal to their power and influence in making changes

A slide with a white background and a grey header bar.

Why do faculty publish?

- Communicate results to peers
- Advance career
- Personal prestige
- Gain funding (higher citations, more likely)
- Financial reward (tenure, promotion)

Alma Swan "The Culture of Open Access: researchers' views and responses." in Jacobs, N., Eds. *Open Access. Key Strategic, Technical and Economic Aspects*, chapter 7. Chandos.

Benefits of Open Science (Access)

- High visibility of work
- Immediate communication to peers
- Wide distribution of research
- Easier access to latest research results
- More citations and ultimately prestige for authors

Our Message

- Remind authors signing away rights
- Discuss with faculty who are decision makers
- Discussion with faculty who can pressure decision makers
- Tailor message to the person
 - Her role(s)
 - Her discipline

Faculty Have Power & Influence

To Make Changes As:

- Members and officers of societies
- Editors of journals
- Authors of journal articles
- Heads of Department/division/center
- Educators, Researchers, Faculty
- Advocates for public good

Society Members / Officers

Raise questions about:

- Pricing models for libraries – how costly
- Free access policies
 - Do the articles become freely accessible?
 - Can the embargo period be shorter?
- What other activities are being funded by the journal revenue? Is that reasonable?
- Consider being a role model/leader in OA for the field

Editors / Editorial Board Members

Ask about:

- Access-friendly policies – embargo periods
- Subscription costs for libraries
- Restrictive licenses – e.g. no interlibrary loans to foreign libraries or individuals
- Other cost/revenue models considered
- Activities the revenue is supporting
- Copyright ownership – author or journal
- Policies on the authors' use of their articles
- Consider another publisher with better policies

Editors of Emerging Journals

When starting a new journal, find a publisher that

- Supports access-friendly policies
- Allows short embargo periods
- Allows authors to keep the copyright
- Has reasonable subscription fees for libraries
- Consider new publishing partnerships
 - university presses, SPARC, and other models

Authors

- Choose journals with access-friendly policies
 - Consider access for colleagues, students and patients
- Choose journals with shorter embargo periods or more flexible policies
- Choose granting agencies that support publication costs
- Library can provide data on journals in their field
- Library can post Web sites with journal policies

Educators

- Ask journals for increased use for classes
 - Posting on course Web sites
 - Distributing digital copies to students
- Increased or free access for all students
- Advocating for importance of free and easy access to all for learning

Researcher

- Ask for funding from granting agency
- Identify funding agencies supporting public access
- Identify publishers working with public access
- Comment on policies and legislation, e.g. NIH
- Advocate importance of access for scientific discovery
 - Global research issues in developing countries

Heads of Department/Division/Center

- Encourage faculty to publish in high quality open access journals
- Fund author fees and fees for immediate release of articles
- Recognize increasing prestige of OA journals during APT decisions
- Ask faculty to keep their copyright rights
- Be a role model in their own publishing choices

Faculty Member

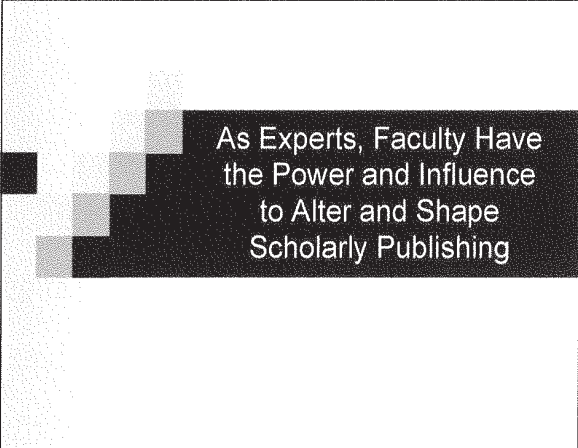
- Mentor junior faculty
- Push for changes in promotion/tenure process
- Promote petitions and declarations promoting OA and public access
- Deposit articles in an institutional repository or post on his/her Web site

Advocates for Public Good

- Open scientific information benefits everyone and is a public good
- Taxpayer supported research should be accessible
- Power of freely accessible information in global health
- Monitor legislative proposals and send in comments and opinions
- Can influence future policies on the national level

Assistance from Library

- Identify access and embargo policies
- Compare with other journals in field
- Find information on impact factors of open access journals
- Refer to alternative publishing models and partnerships
- Connect them to Scholarly Communications Officer



As Experts, Faculty Have
the Power and Influence
to Alter and Shape
Scholarly Publishing

Publishing Issues:

Access and Today's Publishing Environment

Hardin Library for the Health Sciences
www.lib.uiowa.edu/hardin
IM buddy name: HardinLHS
lib-hardin@uiowa.edu
319-335-9151



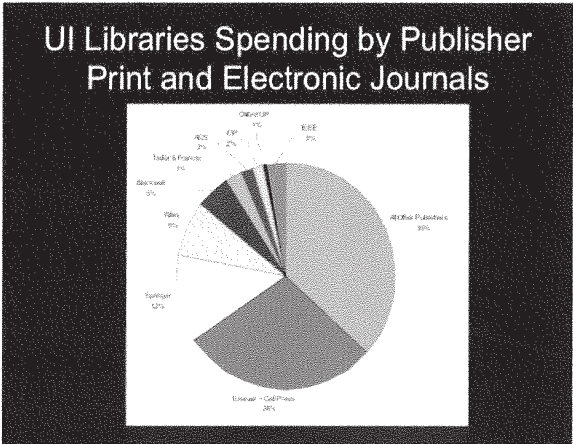
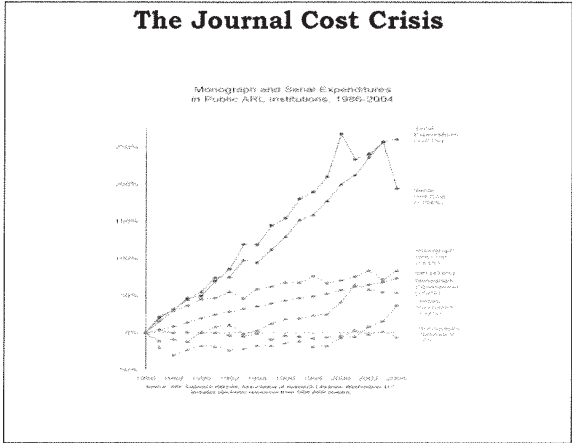
Sticker Price: \$6,365.00

Science online One carat Tiffany diamond ring

Sticker Price: \$10,450

Average 2005 Price for Scientific Disciplines

Discipline	Average Price per Title
Chemistry	\$2,868
Physics	\$2,719
Engineering	\$1,683
Biology	\$1,494
Technology	\$1,460
Math & Computer Science	\$1,207
Astronomy	\$1,235
Geology	\$1,197
Botany	\$1,109
Food Science	\$1,107
Health Sciences	\$1,081
General Science	\$1,059
Zoology	\$1,053
Geography	\$945
Agriculture	\$799



Next expected UI journal cuts
 See <http://www.lib.uiowa.edu/collections/cancel2007/>

2007-2008

\$225,000

Journal cuts at other universities:

- University of Michigan (\$1.1 million)
- University of Florida (\$750,000)
- University of Kansas (\$500,000)
- University of Oregon (\$600,000)
- University of Colorado/Boulder (\$500,000)
- Duke University (\$308,000)
- Stanford University (\$900,000)
- University of Notre Dame (\$400,000)
- University of Wisconsin/Madison (\$400,000)
- University of New Mexico (\$750,000)
- Loyola University (\$320,000)

Impact on You

- Higher prices = fewer databases
for libraries = fewer journals
= less access to
research
- Research takes longer and is more difficult

PUBLISHING VENUES: Traditional Publishers

Restrict access to paying subscribers
 Authors usually transfer copyright to publisher
 Researchers are often unpaid workers (editors, reviewers)
 For profit publisher: NEJM, Nature
 Society publisher: AHA (Circulation Research)

PUBLISHING VENUES: Open Access Publishers

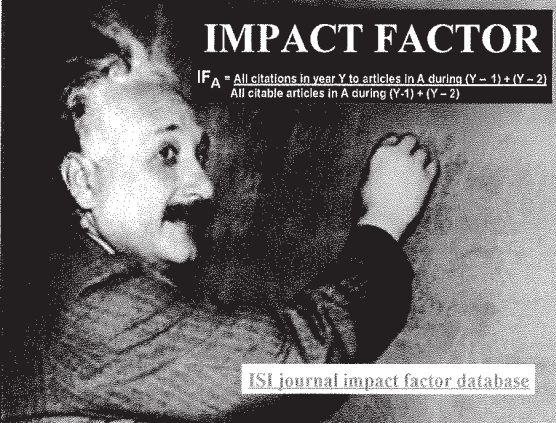
Anyone can read for free online
 Authors usually retain copyright or some rights
 Authors often pay publishing fees
 Researchers are often unpaid workers (editors, reviewers)
 New publisher: PLOS Medicine
 Society publisher converted to open access:
 Transactions of the American Ophthalmological Society

Digital Repositories

- **Discipline:** PubMed Central
- **Institution:** MIT DSpace and ALADIN
- **Individual:** Your own web page

IMPACT FACTOR

$IF_A = \frac{\text{All citations in year Y to articles in A during (Y-1) + (Y-2)}}{\text{All citable articles in A during (Y-1) + (Y-2)}}$



ISI journal impact factor database

Publishers' Policies Affect Your Rights

SHERPA Opening access to research
Home | About | Advice | Archives | Users | Contacts

Publisher copyright policies & self-archiving: the SHERPA/ROMEO list

Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

Search

Search

Find contains or starts with or Exact phrase only

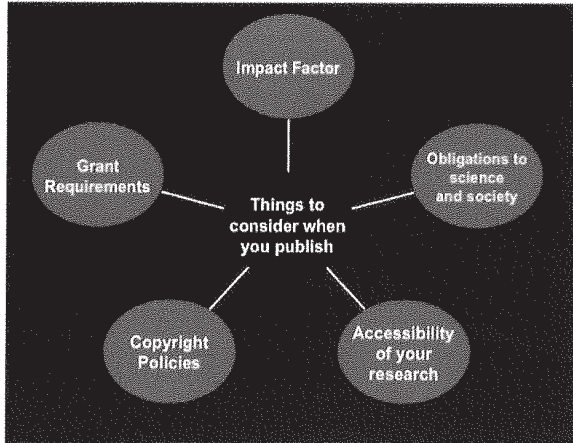
[Or view all publishers](#)

This service is a development of the original publishers' listings produced by the ROMEO project. Journal information is kindly provided by the British Library's Zetoc service hosted by MMAS.

<http://www.sherpa.ac.uk/romeo.php>

Public and Institutional Policies

- NIH Public Access Policy
- Federal Research Public Access Act of 2006
 - [Letter of support signed by UI provost](#)
- Funding Agency Requirements – e.g. Wellcome Trust requiring authors to post articles to open digital repositories.
- Institutional mandates – e.g. University of California considering requiring authors to retain rights to post to open digital repositories.



WHAT YOU CAN DO

Author's Addendum

Retain the rights you need

When you write for a journal or publication in a scholarly or scientific journal, you are typically asked by the publisher to sign a "Copyright Transfer Agreement" ("Copyright Agreement") or "License to Publish" or a similarly named document. This document typically is to transfer to the publisher publishing rights in your work and often to give to the publisher a license of rights. One of the risks is the right to publish your article.

What if you want to publish your article in other journals or other venues, or you want to use your article in other venues? And even if you have signed a copyright agreement, there are ways to retain your rights. You can do this by signing a "Copyright Retention Agreement" (CRA) or a "Copyright License Agreement" (CLA) with the publisher. This document typically is to transfer to the publisher publishing rights in your work and often to give to the publisher a license of rights. One of the risks is the right to publish your article.

What if you want to publish your article in other journals or other venues, or you want to use your article in other venues? And even if you have signed a copyright agreement, there are ways to retain your rights. You can do this by signing a "Copyright Retention Agreement" (CRA) or a "Copyright License Agreement" (CLA) with the publisher. This document typically is to transfer to the publisher publishing rights in your work and often to give to the publisher a license of rights. One of the risks is the right to publish your article.

About the Author's Addendum

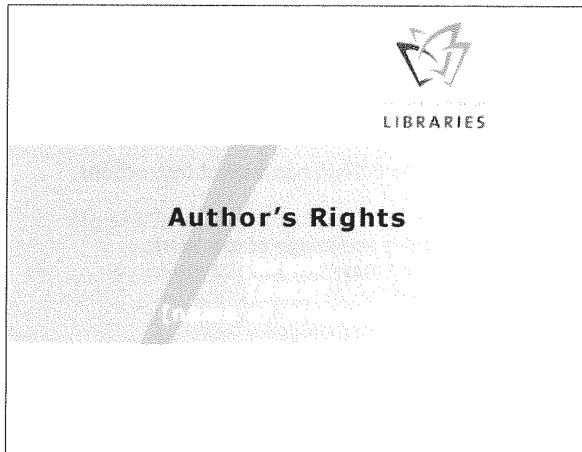
The SPARC Author's Addendum is a form you use to amend the publisher's standard form and you sign. It is designed for SPARC by Michael D. Bishop of the Wisconsin State Library. It is a document you use to amend the publisher's standard form and you sign. It is designed for SPARC by Michael D. Bishop of the Wisconsin State Library. It is a document you use to amend the publisher's standard form and you sign. It is designed for SPARC by Michael D. Bishop of the Wisconsin State Library.

<http://www.arl.org/sparc/resources/copy.html>

What's the Big Deal?


	Price Cap	2007 Estimated Cost
Springer	6%	\$483,983
Wiley	5%	\$349,163
Blackwell	5%	\$314,007
Elsevier	5.5%	\$1,259,148
TOTAL:		\$2,204,301

- **Springer:** 316 subscribed, 808 titles accessed via consortia
- **Wiley:** 168 subscribed, 451 titles accessed via consortia
- **Blackwell:** 396 subscribed, 760 titles accessed via consortia
- **Elsevier:** 788 titles subscribed, 1,316 titles accessed via consortia
- **TOTALS:** 1,668 titles subscribed to from the 4 publishers; 3,335 titles accessed via consortial agreements (100% increase in access)




Bundle of Author Rights

- To publish and distribute a work in print or other media
- To reproduce it (e.g., through photocopying)
- To prepare translations or other derivative works
- To perform or display the work publicly
- To authorize others to exercise any of these rights



Surrendered Copyright? May Need Permission to:


- Post the work on your web site or to a course management system like WebCT
- Re-use excerpts in another work
- Translate the work into another language
- Make copies of the work for your colleagues
- Place the work in course-packs
- Place the work in a digital repository or archive



Author Option: maintain the status quo

Continue the frequent existing practice of transferring ownership of copyrights to publishers in exchange for publication

despite the restrictions it places on you to use your own work



Author's New Opportunity: Retain rights - some or all

Reserve only specific rights you need, such as

- the right to copy material for instructional purposes
- the right to post your work on your web site
- the right to republish an essay in a book
 - but otherwise transfer ownership of the copyright to the publisher

OR

Retain ownership of the copyright and license to publishers only specific rights, such as

- the right of first publication



Retaining Copyright: American Mathematical Society

This Consent to Publish has explicit instructions:

"If the Author(s) wishes to retain copyright of the content and image of this Work, . . . the Author(s) may strike out items 3, 4, and 5 above."



Reserve Some Specific Rights

- Sharing your work with others
 - On your web site
 - In an open access repository
- Teaching
 - Course reserves (electronic or print)
 - Course packs
- Future uses of your work
 - Derivative works, translations
 - Anthologies, edited volumes



Sharing: Wiley Copyright Transfer

"The rights listed below are permitted without having to request further permission from the publisher. . .

"The right to post preprints as electronic files on the author's own Website for personal or professional use, . . . or on a secure external Website at the author's institution"



Teaching: American Physical Society

Transfer of Copyright Agreement:

"The author(s) shall have the following rights (the "Author Rights"):

"(3) The right to use all or part of the Article, including the APS-prepared version without revision or modification, on the author(s)' web home page or employer's website and to make copies of all or part of the Article for the author(s)' use for lecture or classroom purposes."



Teaching: Wiley Agreement

Wiley allows, without requesting permission:

"The right to photocopy the article for course packs to be distributed to students at the author's institution free of charge or for storage in electronic format in datarooms for access by students at the author's institution as part of their course work, and for in-house training programs at the author's place of work."

But paradoxically . . .



The screenshot shows the Wiley website's 'Copyrights and Permissions' section. A callout box highlights the text: "The right to reuse selected figures, tables, and text (up to 250 words but should not include the abstract) for the author's own teaching purposes...".

Future uses: American Institute of Chemical Engineers

Copyright Assignment Form:

"The undersigned retains the following rights in the paper:
b) The right to reproduce, have reproduced, revise, adapt, prepare derivative works . . . for such purposes as teaching, scholarship or research . . ."



Negotiating: Success Story

Professor Gary Balas, of U of M's department of Aerospace Engineering and Mechanics, initiated a change by his professional organization:

The American Institute of Aeronautics and Astronautics (AIAA) ~~agreed to modify their self-archiving policy to allow web posting~~ without requesting permission



Negotiating: Author Addendum

http://www.arl.org/sparc/bm~doc/AuthorsAddendum2_1.pdf

"THIS ADDENDUM hereby modifies and supplements the attached Publication Agreement concerning the following Article . . .

- 1. Author's Retention of Rights.** Author retains:
- (i) the rights to reproduce, distribute, . . .
 - (ii) the right to prepare derivative works . . .

For example, Author may make and distribute copies in the course of teaching and research and may post the Article on personal or institutional Web sites and in other openaccess digital repositories. . ."



New Opportunities for Publishing Your Work

- Open Access journals
 - [Directory of Open Access Journals](#)
- Discipline-based repository
 - [arXiv](#)
- Institution-based repository
 - [University Digital Conservancy, U of M](#)



What are Your Options?

- Look for journals with scholar-friendly agreements.
- Ask about what rights you retain if you sign over copyright.
- Use an author's addendum to reserve your rights for sharing, teaching, and future uses.
- Consider retaining your copyrights.
- Publish in open access journals or choose the open access option offered by some traditional publishers.
- Spread the word.



<https://wiki.lib.umn.edu/wupl/ScholarlyCommunication.Action/au-rights-32707.ppt>

Questions?

Contact [name, email]



Discussion Forum:
The CIC Provosts' Statement on
Publishing Agreements

Mike Furlough, Becky Albitz,
Linda Friend
February 20, 2007

Today's Purpose

- Informational
 - Update on a specific CIC initiative
 - Overview of related advocacy issues
 - Directing you to available resources
- Discussion
 - Clarification of the issues
 - Awareness of our own publishing habits

Background Trends

- Commercial-academic publishing trends
 - Serial inflation outpaces rest of economy
 - Conglomeration in STM publishing
 - Move to electronic delivery/renting
- Increased awareness of **limits** to sharing of scholarly information.
 - Web delivery increases awareness of controls
 - DMCA and TEACH act
 - Open access and FRPAA

Background to the Statement

- Nov 3 meeting of CIC Faculty Senate Leaders.
 - Forum on Scholarly Communications
 - Urging for some CIC-based collective statements and action.
- Outcome: the CIC Provosts' Statement on Author Rights and Sample Author Addenda.

The CIC Provosts' Statement

CIC Provosts' Statement 1

- Suitable **publishing partners** for academic enterprises should be **encouraging the widest possible dissemination of the academy's work**, and the **management of copyright should be directed to encouraging scholarly output** rather than unnecessarily fettering its access and use.

CIC Provosts' Statement 2

- The **goal of publication** should be to **encourage widespread dissemination and impact**; the **means** for accomplishing this **will necessarily depend on** the nature of the work in question, the author's circumstances, available suitable outlets, and **expectations in the author's field of inquiry**.

CIC Provosts' Statement 3

- we **encourage authors to consider publishing strategies** that will **optimize short and long-term access** to their work, taking into account such factors as **affordability, efficient means for distribution**, a secure **third-party archiving strategy**, and **flexible management of rights**.

CIC Provosts' Statement 4

- Protecting intellectual property rights is a particularly important consideration, as many of our **authors unwittingly sign away all control over their creative output.**

CIC Provosts' Statement 5

- Toward this end, the CIC Provosts encourage **contract language** that ensures that academic authors retain certain **rights that facilitate archiving, instructional use, and sharing with colleagues** to advance discourse and discovery.

CIC Provosts' Statement 6

- The CIC **Provosts recognize the complexity of the issues** involved in publication, but are nonetheless committed to helping our faculty make the most of their work. **For further discussion of these issues**, or for help in assessing options for the publication of particular works, members of our faculty are encouraged to **consult with** academic deans, campus counsels, **university librarians**, or academic staff in the provosts' offices.

Author Addenda Terms

- Publisher and author agree that where there are conflicting terms between the publication agreement and this addendum, **the provisions of this addendum will be paramount. In addition to the rights granted the author in the publication agreement and by law, the parties agree that the author shall also retain the following specified rights:**

The Addendum to Publication Agreements for CIC Authors

Author Rights 1

- The Author shall, without limitation, have the non-exclusive right to use, reproduce, distribute, and create derivative works including update, perform, and display publicly, the Article in electronic, digital or print form in connection with the Author's teaching, conference presentations, lectures, other scholarly works, and for all of Author's academic and professional activities.

Translation:

Author retains the right to do pretty much anything with the article *contents* he or she wants, as long as it is for educational/research purposes.

Author Rights 2

- After a period of six(6) months from the date of publication of the article, the Author shall also have all the non-exclusive rights necessary to make, or to authorize others to make, the final published version of the Article available in digital form over the Internet, including but not limited to a website under the control of the Author or the Author's employer or through digital repositories including, but not limited to, those maintained by CIC institutions, scholarly societies or funding agencies.

Translation:

After six months, the author can post the *final, published* version of the article on a web site either he or she controls, or that is managed by their institution. No access restrictions are noted.

Author Rights 3

- The Author further retains all non-exclusive rights necessary to grant to the Author's employing institution the non-exclusive right to use, reproduce, distribute, display, publicly perform, and make copies of the work in electronic, digital or in print form in connection with teaching, conference presentations, lectures, other scholarly works, and all academic and professional activities conducted at the Author's employing institution.

Translation:

The author may also allow others at his or her institution to use the article *content* for educational purposes—such as course packs, reserves, reproduction in institutional publications, etc. What the final phrase “at the Author's employing institution” means is questionable, considering electronic access is permitted.

Note—the authors rights are non-exclusive. The publisher retains the same rights, and also the ability to grant to others all of the rights given to the author.

What are publisher's allowing?

- Every publisher has a different author agreement, which permits varying degrees of content sharing
- The RoMEO project—lists publishers and their archiving/copyright policies
<http://www.sherpa.ac.uk/index.html>

• RoMEO Archiving policy key

- Green--can archive pre-print and post-print
- Blue--can archive post-print (ie final draft post-refereeing)
- Yellow--can archive pre-print (ie pre-refereeing)
- White--archiving not formally supported

Remember—everything is negotiable!

Issues with Author Addenda

- Pressure to publish, and related time constraints
- Support for alternative publishing outlets
- Practices and needs vary across disciplines
- A large number of similar/varying addenda models—how do you manage them?
- Lack of awareness of what publishers already allow

Sample Approaches to Author Agreements

- SPARC
- MIT
- Creative Commons
- University of California

SPARC Initiatives

Scholarly Publishing and Academic Resources Coalition

- Initiated by ARL
- Purpose is to “correct market dysfunctions in the scholarly publishing system”

- CIC Provosts’ Statement is modeled on SPARC license content

SPARC language

1. Author’s Retention of Rights. In addition to any rights under copyright retained by Author in the Publication Agreement, Author retains: (i) the rights to reproduce, distribute, publicly perform, and publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article. For example, Author may make and distribute copies in the course of teaching and research and may post the Article on personal or institutional Web sites and in other open access digital repositories.

Creative Commons License

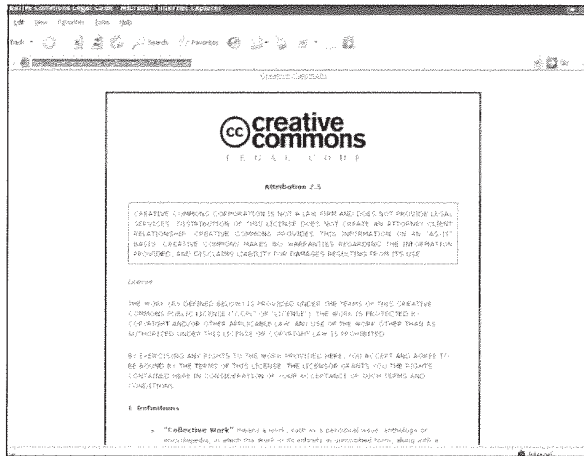
E.g. Used by Public Library of Science (PLOS) journals

Summary of the Creative Commons Attribution License

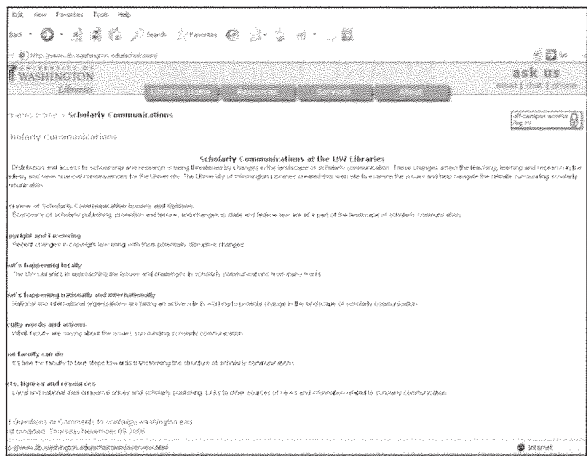
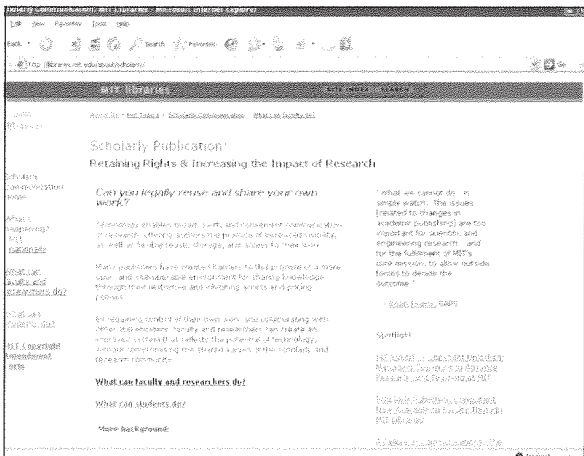
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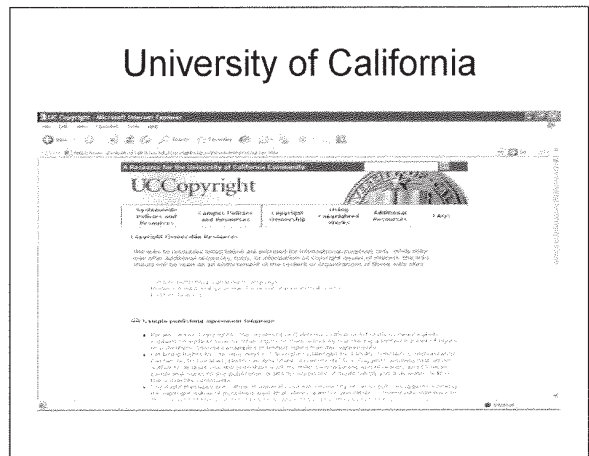
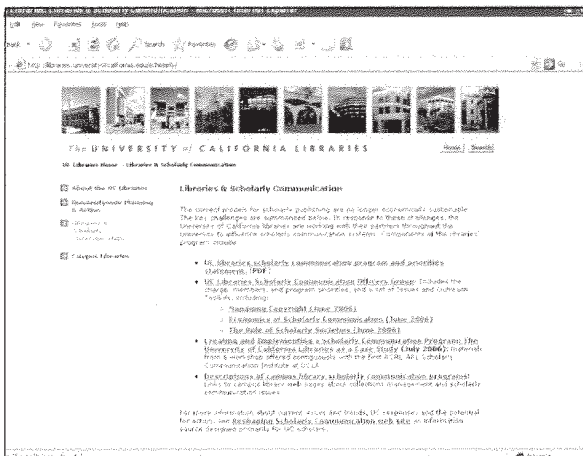
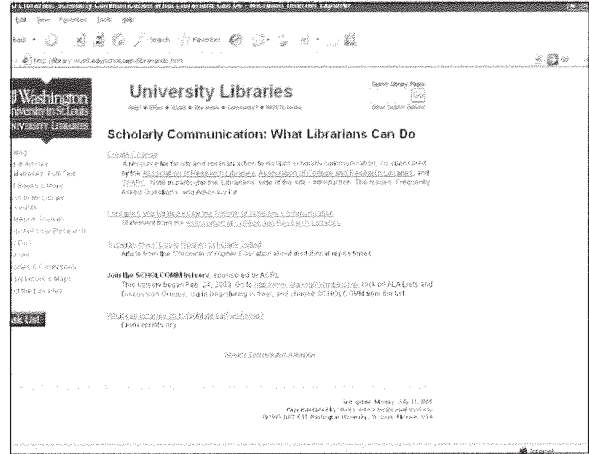
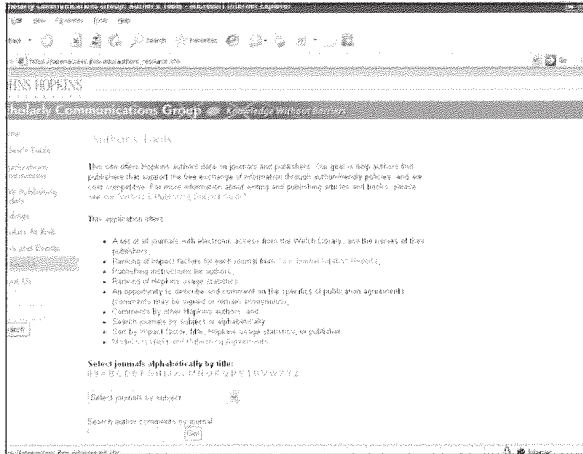
- to copy, distribute, display, and perform the work
- to make derivative works
- to make commercial use of the work

<http://creativecommons.org/licenses/by/2.5/legalcode>



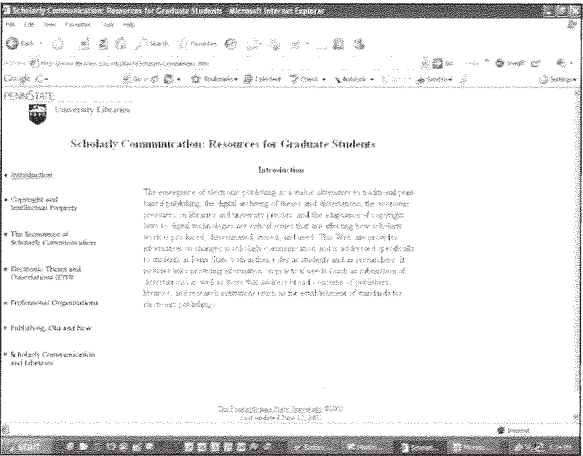
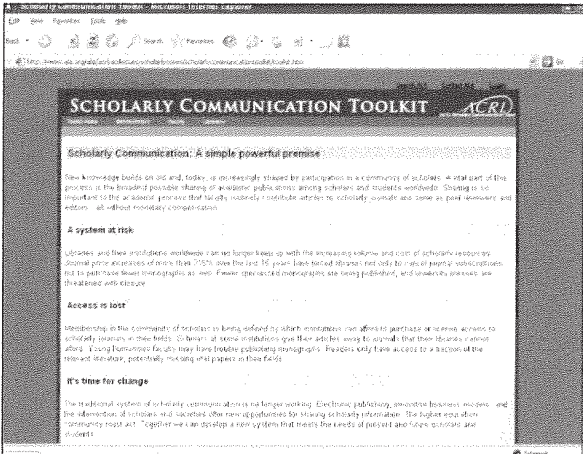
Libraries Are Beginning To Provide Information to Faculty About the Issues & Their Options





ACRL Providing Info for Faculty, Too

<http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholarlycommunicationtoolkit/faculty/facultyauthorcontrol.htm>



Action at Penn State

- Statement/addenda presented to:
 - Senate Committee on Libraries (R)
 - Senate Committee on Faculty Affairs (Qs)
 - Senate Committee on Research (Qs)
- March 20 Faculty Senate:
 - Presented as informational report
- Library discussion or action?

E-LIS

- E-prints in Library and Information Science
- Begun in 2003; currently over 5000 documents

E-LIS is an open access archive for scientific or technical documents, published or unpublished, on Librarianship, Information Science and Technology, and related areas. E-LIS relies on the voluntary work of individuals from a wide range of backgrounds and is non-commercial. It is not a funded project of an organization. It is community-owned and community-driven. We serve LIS researchers by facilitating their self-archiving, ensuring the long-term preservation of their documents and by providing word-wide easy access to their papers.

<http://eprints.rclis.org/>

Discussion

Publisher Perspective

<http://aaupnet.org/aboutup/issues/index.html>

<http://aaupnet.org/resources/electronic.html>

Open Access Discussion Forums

Compiled by Peter Suber:

- [American Scientist Open Access Forum](#) from *American Scientist*. Moderated by Stevan Harnad.
- [BOAI Forum](#). The forum associated with the [Budapest Open Access Initiative](#). Moderated by Peter Suber.
- [Economics of Open Access](#). Moderated by Alastair Dryburgh.
- [Eprints Community](#). The forum associated with the [eprints](#) archiving software.
- [OAI-Eprints list](#) from the [Open Archives Initiative](#).
- [Open Data](#) from [SPARC](#). On open access to data. Moderated by Peter Murray-Rust.
- [Ozeprints](#). On OA archiving developments in Australia. Moderated by Belinda Weaver. To subscribe, send an e-mail to listserv@library.un.edu.au with the message 'subscribe ozeprints' in the body of the message.
- [PloS Community Boards](#) from the [Public Library of Science](#).
- [ScholComm](#) from the [American Library Association](#). On scholarly communication.
- [SSP-L](#) from the [Society for Scholarly Publishing](#).
- [SPARC-IP](#) from [SPARC](#). On institutional repositories.
- [SPARC Open Access Forum \(SOAF\)](#) from [SPARC](#). Formerly called the [FOS Forum](#). On open-access developments broadly construed, especially issues raised by the [SPARC Open Access Newsletter](#) or [Open Access News List](#). Moderated by Peter Suber.

<http://www.earlham.edu/~peters/fos/lists.htm#discussions>

- [URLs](#)
- [CIC Provoost's Statement](#)
- <http://www.library.upenn.edu/courses/#acad/governmentleaders/archives/MikeCasper/CACAdvisesRipple.pdf>
- [RoMEO Archiving Site](#)
- <http://www.eprints.org>
- [SPARC Author Addendum](#)
- <http://www.library.upenn.edu/ro/roaction.htm>
- [Creative Commons Initiative](#)
- <http://creativecommons.org/licenses/>
- [MIT Libraries Author Information](#)
- <http://www.library.upenn.edu/ro/>
- [University of Washington Scholarly Communication Issues Site](#)
- <http://www.library.upenn.edu/ro/roaction/>
- [Johns Hopkins Scholarly Communications Group Author Tools](#)
- http://www.library.upenn.edu/ro/roaction/#_resources
- [Washington University, St. Louis](#)
- <http://library.wustl.edu/comm/infocenter.html>
- [University of California](#)
- http://www.library.upenn.edu/ro/roaction/#_scholarly
- [University of California Copyright Site](#)
- http://www.library.upenn.edu/ro/roaction/#_copyright
- [ACRL Scholarly Communication Toolkit](#)
- http://www.library.upenn.edu/ro/roaction/#_scholarly_communication_toolkit
- [Open Access Discussion Forums \(Suber\)](#)
- <http://www.library.upenn.edu/peters/oa.html#forum/customers>
- [ELIS](#)
- <http://www.library.upenn.edu/>