SURVEY RESULTS

EXECUTIVE SUMMARY

Introduction

The concept of a public access policy for research results is based on the premise that government-funded research results should be freely available without barriers to taxpayers who provide support for the funding. With the recent enactment of the US National Institutes of Health (NIH) Public Access Policy and the Canadian Institutes of Health Research (CIHR) Policy on Access to Research Outputs, much attention has been devoted to public access policies. Non-governmental entities, such as Howard Hughes Medical Institute and Autism Speaks, have enacted public access policies as well — promoting wider dissemination of research findings they fund.

In many academic and research institutions, libraries have taken the lead in developing resources and services to support authors who are required to comply with public access policies. This survey was designed to explore the role libraries are playing in supporting public access policies in their institutions. Specifically, this survey sought to identify:

- Staffing models for PAP compliance support
- Partnerships and collaborations for PAP compliance support
- Resources and services developed for PAP compliance support
- Resources used by library staff to monitor PAPs
- Challenges related to PAP compliance support.

The survey was distributed to the 123 ARL member libraries in February 2009. Seventy libraries (57%) from 67 institutions responded by the March 23 survey deadline. Of the respondents, 63 (90%) were at libraries located within the United States and 7 (10%) were at libraries located in Canada.

ARL Libraries and PAPs

The majority of the libraries responding to this survey provide, or plan to provide, resources and services that help authors affiliated with their institution (and/or their support staff) to comply with public access policies (PAP). Thirty-seven respondents (53%) indicated that more than one library within their system provides PAP compliance support; eleven (16%) indicated that just one library within their institution is providing PAP compliance support. Four other institutions (6%) are planning for PAP compliance support.

Of the libraries that do not provide PAP compliance support, eight (11%) indicated that this support is provided by another department or unit within their institution. Eight (11%) others responded that no PAP compliance support is offered by their institution.

In the instances where the library is not involved in PAP compliance support, respondents were asked to identify which department or unit was responsible. The institution's Office of Research and/or Sponsored Programs was the most frequently cited non-library unit (six out of eight responses).

Nineteen of the responding libraries submitted the survey at this point: 17 that do not provide PAP compliance support and two where planning for such services is not far along; 51 respondents continued.

At the institutions where libraries provide PAP compliance support, the main campus library is most often involved (76%), though a significant number

of respondents indicated that libraries supporting health professions (65%) and other types of science libraries (39%) play a role. The involvement of both the libraries supporting health professions (e.g., Medicine, Dentistry, Nursing) and the libraries supporting other sciences is not surprising, given that the current PAPs were mandated by agencies involved in the health sciences and health research (e.g., NIH, CIHR).

At seven of the 11 institutions where one library supports PAP compliance the main library provides these resources or services. At the other four, a library that supports a health profession (medicine, nursing, dentistry, pharmacy, optometry, etc.) provides these services.

In the institutions where more than one library (e.g., a main campus library and/or a health profession or other science library) provides PAP compliance support, there is evidence of coordination and cooperation between the individual libraries. A solid majority (75%) indicated that all the libraries in their system follow the same strategy or offer the same services/resources for PAP compliance support.

It is not surprising that all respondents from the US provide support for the NIH policy or that four of the five Canadians provide support for the CIHR policy, but more than half of the respondents provide support for multiple policies. These include two Canadian institutions that support both NIH and CIHR policies and ten respondents (20%) that support an institutional policy on public access. Other supported policies include the Wellcome Trust (12%) and Howard Hughes Medical Institute (10%), with one library reporting support of the Autism Speaks policy.

Models for PAP Compliance Support

There was no one single organizational model for ARL libraries' PAP compliance activities. Respondents reported that the responsibility for coordinating and/ or planning activities to support authors' compliance with public access policies falls either on a single individual, a committee (both ad hoc and standing), each librarian who works with authors who are subject to PAP compliance, or a combination of these individuals and groups.

At seven libraries (14%) PAP compliance activities are handled by a single individual. All but one of these devote 10% or less of their time to those activities; the other devotes 35% of his/her time to PAP activities.

In 11 libraries, responsibility for PAP compliance activities is assumed by a committee (either ad hoc or standing). At three institutions, librarians who work with authors assume coordination or planning responsibility.

About half of the respondents report that a combination of individuals and groups shares these responsibilities. One example of a collaborative model within the library for PAP compliance support was noted by a respondent: "The Medical Center Librarian monitors developments and coordinates Web resources for authors. Librarians within medical center library provide support for deposit. Scholarly Communications Officer coordinates policy development and supports authors in retaining needed rights."

Regardless of the organizational model, the top four library activities are monitoring PAP developments, developing resources and programs, coordinating services, and consulting with authors and/or their support staff on PAP compliance. Of the libraries in which committees are responsible, coordinating PAP compliance support training of library staff is common. A less common practice among individuals or committees is providing mediated deposits for authors in the form of third-party submissions.

One interesting finding from the survey results is that "scholarly communications" is the most frequently noted term in individual position titles and either ad hoc or standing committee titles. Some examples include: "Scholarly Communication Librarian," "Scholarly Communications Specialist," "Coordinator of Scholarly Communication," "Scholarly Communications Committee," "Scholarly Communications Group of the University Libraries Council," and "Project: Scholarly Communications."

Partnerships and Collaborations for PAP Compliance Support

In most instances, libraries' PAP compliance activities are coordinated with another department or unit of their parent institution. Forty of forty-three libraries (93%) reported collaborating with a unit outside of the library. Most respondents noted the other department

or unit was an Office of Research or equivalent. The most often cited units were an Office of Research, an Office of Grants and Contracts, a General Counsel's Office, or an Office of Sponsored Projects. As one respondent noted, "The Health Sciences Library director worked with the School of Medicine's Associate Dean for Research Administration and the University's Office of Sponsored Projects Administration in developing the PAP support program." In some cases, the library initiated the partnership: "The Library brought existence of NIH mandate to attention of Office of Sponsored Projects and suggested strategy to comply with it."

Resources and Services for PAP Compliance Support

Though the intent in this survey was to differentiate between resources and services, no strict definition of terms was given. This resulted in significant overlap in the responses about the specific types of resources and services offered by the responding institutions. Web sites were most often referenced by respondents as resources, but group presentations and one-on-one consultations predominated whether they were designated as resources or services.

No matter what term is used to categorize activities, it is apparent from the survey that ARL libraries are drawing from a wide range of actions to support PAP compliance. Ninety percent of the respondents publish a Web site with PAP information. Almost the same number offer copyright addenda to help authors retain the right to comply. The majority of respondents employ group presentations (e.g., PowerPoint presentations, tutorials, workshops, classes). Over half of the respondents review copyright agreement forms, and between 30% and 40% responded that their institution maintains a listing of journal publisher policies, sample letters to publishers, and FAQs. One quarter of the respondents offer blogs, and an equal number offer brochures or pamphlets. In direct service to authors, slightly fewer than half provide third-party submissions to institutional repositories on behalf of authors and 28% provide third-party submission services. Selected examples of ways that responding libraries provide PAP compliance support are highlighted in the following Representative Documents section.

Personalized, one-on-one consultations stand out as the premiere means of active communication of information about PAP compliance within ARL libraries. Among the 30 respondents who track consultations the number per institution ranges from 2 to over 100. One respondent noted that one-on-one consultations are "very effective and very much appreciated by the PI." If e-mail consultations are also included, the number of faculty/staff served increases many times over. One library reported an average of 20 e-mail consultations a week and added, "These are very effective as it allows for more information to be included that can be retained for future use." Some libraries reported that consultations also involved support staff for authors: "A large portion of these consultations are with support staff who will handle deposit for many faculty members in a department."

Commonly asked questions in one-on-one consultations included: "How do I comply?" "Do I need to comply?" "How do I retain the right to comply?" "How do I find my PMCID number?" "How do I submit an article?" "What is this publisher's policy?" "Can I retroactively comply?"

Thirty libraries also reported giving classes, workshops, or presentations about PAP compliance in 2008. The number of sessions offered most often ranged between one and ten per institution; however, the number of participants reached often soared into the hundreds. Clearly, presentations (whether generic or geared to specific departments) are a popular way to communicate to institutional community members about PAP compliance.

Respondents noted some interesting examples of other services and resources, including:

- Customized list of publisher policies regarding the NIH Public Access Policy from the journals most frequently used by campus authors
- Web form for NIH-funded authors for third-party submissions by the library
- Review of citations to be included in a proposal, progress report or application to confirm that documentation of compliance is noted for applicable citations.

While preparing this report, a number of additional resources (e.g., Web sites, newsletter articles, handouts) were discovered, both from respondents that did not list these resources in their surveys and from ARL libraries that did not respond to the survey. Selected resources from respondents are noted in the Representative Documents section, and ARL libraries (respondents and non-respondents) that provide PAP compliance support are noted in the Selected Resources section.

Effectiveness of Resources and Services for PAP Compliance Support

Personalized, one-on-one consultations were judged the single most effective resource or service provided for PAP compliance support. Whether the activity was described as "consultation with author," "individual consultation," "e-mail address for questions," "personal interaction with individuals," "personal contact," "personal discussions," or "individualized counseling," this type of service that addressed the immediate and specific questions of an individual was rated effective most often. One respondent rated the most effective service for helping authors and/or support staff to comply with PAPs as "an expert who can answer questions and guide them through the process." Another reported that one-on-one consultations were the most effective means of "providing reassurance about the NIH PAP." The relative newness of the PAP mandates (especially the NIH policy), the immediate compliance requirement, and the complexity of challenges to compliance faced by authors may explain the need for such personalized service. Many authors feel their situation is unique and, thus, requires something more than a "stock" answer from a Web site or FAQ page.

Other types of face-to-face contact with authors (and/or their staff) such as presentations, classes, and workshops were also rated as highly effective. These have been standard training tools for librarians for decades, and they remain useful in reaching a larger audience at one time. As one respondent commented, "Certainly in-person presentations — either one-on-one or to a group — seem to be the most effective. This is when researchers engage with the topic. It is hard to catch their eye with an e-mail or a link to a Web site."

Web sites and Web-delivered tools were also rated effective by a majority of respondents. Web sites with PAP information, sites or pages that link to external resources, FAQs, links to addenda or flowcharts for compliance were all judged effective by respondents. One respondent noted that their Web site was effective as "it is nice to have more detailed information available to which we can point people." Another effective service mentioned by several responding libraries was that of mediated deposits (third-party submissions).

Resources Used by Libraries to Monitor PAPs

It was clear from the survey responses that library staff members involved in supporting PAP compliance in their institutions rely on a number of different resources to stay current on PAP developments. The top resources used by librarians — listed by over three-quarters of the respondents — were Web sites of national/international organizations, electronic discussion lists, and attendance at conferences. Over 50% utilize blogs and in-house presentations, workshops, and/or discussions to stay current. Academic newsletters and RSS feeds were used by over 40% of respondents. SPARC (Scholarly Publishing & Academic Resources Coalition) was also cited as a source for current information about PAP compliance. One noteworthy response was, "Health sciences librarians have excellent access to policy enforcers at the National Library of Medicine and the National Institutes of Health. We can use these contacts to clarify compliance points, and to report problems the investigator community is having complying with the NIH Public Access mandate."

While two-thirds of the respondents expressed contentment with the available resources for keeping current about PAP compliance, there were a number of interesting suggestions for additional resources such as blogs, webinars, and newsletters. Another suggestion was the creation of a listserv solely for librarians and administrators, to be moderated by a member of the NIH staff. It was also suggested that short, to-the-point, and direct training materials (whether online or print) be developed so that these could be more easily assimilated by busy staff members. The provision of case studies that include

"examples of the various issues and how they were resolved" was another suggestion.

Challenges with PAP Compliance Support

ARL libraries listed a number of challenges encountered when helping authors comply with public access policies. Addressing the initial lack of knowledge and understanding of public access policies, on the part of both authors and library staff, was one frequently cited challenge. Some respondents related the challenge of dealing with authors who have paid little attention to copyright — authors did not understand the publisher agreements they had signed or had little knowledge of author rights in general. One library reported that most of the questions it fielded pertained to "publisher contracts and intellectual property rights in general, rather than directly related to the NIH mandate." Clarification of journal policies was also cited as a challenge. One library reported that their greatest challenge is getting the attention of busy researchers.

In order to address some of these challenges, respondents offered a variety of solutions. Those solutions include providing copyright support services and educational programs, creating flowcharts that outline the compliance process, developing workshops for library staff, creating letters to be used for publishers, and creating lists of publisher policies. Two strategies noted by respondents to address the challenge of meeting with busy researchers were: "using familiar contact people to make the initial approach" and "library staff remaining flexible as to when and how they met with researchers."

Conclusions

Based on the responses to the survey, academic libraries have forged a prominent role in responding to PAP mandates. ARL libraries have swiftly responded to the urgent need for information about PAP compliance to the members of their university communities and, in many instances, have initiated collaborations with units outside of the library. ARL member libraries are proactively providing comprehensive PAP compliance support to authors. There is no "one-size-fits-all" resource or service that addresses the compliance challenge. It is the multiplicity of resources and services provided, such as policy overviews, compliance

guidance, training materials, FAQs, flowcharts and guides, personalized one-on-one consultations, and customized presentations, that are successfully addressing the needs of authors. As familiarity with PAPs increases over time, individual authors may have less need for specialized individualized services and resources. However, at this early stage of PAP compliance, the personalized services and resources provided by the ARL libraries are effectively addressing the needs within their institutions.

It is evident from the responses that interactions with authors who are required to comply with PAPs have allowed ARL libraries many opportunities to introduce peripheral issues such as author rights, copyright and intellectual property, open access publishing, and institutional repositories — topics not typically associated with libraries. Many libraries reported providing services and resources such as reviewing publisher copyright forms and grant applications, counseling on copyright and negotiation of author rights, creating customized addenda, establishing a fund to help pay for publisher fees, establishing or expanding institutional repositories, creating Web sites on copyright, and providing presentations on publishing and publication models. Such services and resources help to ease the burden of authors and in turn, arm authors with options for exercising control over the dissemination of their scientific discoveries and intellectual output.

One promising trend noted in the survey responses is the extent of the collaboration with units outside of the library. Respondents reported partnerships with units such as an Office of Research, Office of General Counsel, Grants and Contracts, Vice Provost of Research, Office of Sponsored Awards Management, and others. A number of libraries reported taking the initiative in reaching out to these units and in some cases, guiding the development of programs for PAP compliance support and serving as active partners. As one respondent reported, the library provides "consultation, expertise, drafting of language, and advocacy for policies in support of public access." Another respondent noted, "The librarians tend to keep abreast of developments, provide training and assistance, and recommend procedures. The units external to the library serve more as receivers

of information than leaders in responding to it." The responses from the ARL libraries demonstrated many successful examples of forging alliances beyond the walls of the library.

While PAPs in general are a relatively new development, the level of resources and services developed by the responding libraries and their alliance-building collaborative efforts provide a prime example of how libraries are evolving to address the complexity of research in the 21st century coupled with the transformation of information technology. Such targeted program efforts to leverage expertise and resource sharing for PAP compliance support is evidence that libraries are poised to quickly and efficiently respond to possible future mandates, including the Federal Research Public Access Act (FRPAA).

SURVEY QUESTIONS AND RESPONSES

The SPEC survey on Public Access Policies was designed by Cathy Sarli, Scholarly Communications Specialist, Ellen Dubinsky, Librarian, Bob Engeszer, Associate Director, Translational Research Support, and Ruth Lewis, Biology and Mathematics Librarian, Washington University in St. Louis. These results are based on data submitted by 70 of the 123 ARL member libraries (57%) by the deadline of March 20, 2009. The survey's introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

The concept of a public access policy for research results is based on the premise that government-funded research results should be freely available without barriers to taxpayers who provide support for the funding. With the recent enactment of the US National Institutes of Health Public Access Policy and the Canadian Institutes of Health Research Policy on Access to Research Outputs much attention has been devoted to public access policies. Many academic and research libraries have developed resources and services to support authors who are required to comply with these policies. What are the implications of public access policies for research libraries? Are they poised to provide resources and services to support authors in meeting these policies? This survey is designed to identify:

- Resources and services developed to support author compliance with public access policies
- Strategies used to disseminate resources and services to authors who are subject to public access policies
- Who coordinates these resources and services
- Resources used by library staff to learn about public access policies
- Partnerships and collaborations outside the library related to public access policies
- Service issues related to public access policy compliance

The results of this survey will highlight current practices related to public access policies, provide models for other libraries that are considering implementing similar activities, and offer examples of resources and services.

BACKGROUND

1. Does any library in your institution provide resources or services that help authors (and/or their support staff) comply with public access policies (PAPs)? N=70

Yes, more than one library provides PAP compliance resources or services	37	53%
Yes, one library provides PAP compliance resources or services	11	16%
Not yet, but planning for such resources and/or services is in process	4	6%
No, support for such resources and/or services is currently the responsibility of another department or unit in the institution	8	11%
No PAP compliance support is offered by the institution	8	11%
Other	1	1%

A service is not provided; lists of resources are provided on webpages. The Division of Research (outside department) links to the library's pages.

If support for such resources and/or services is currently the responsibility of another department or unit in the institution, please provide the name of that department or unit and briefly describe the services and/or resources it provides. N=8

Department/Unit	Services and/or Resources Provided
It appears the Medical Colleges are taking the lead.	The College of Human Medicine provides information via a Web site. The Libraries provides information via our Web site.
Legal Affairs	Advises faculty members on compliance with the Board of Regents policy on copyright on a case-by-case basis.
Office for Sponsored Programs (OSP)	The OSP provides service to members of the Boston College community involved in the application for and administration of sponsored projects, to support the University's goal to increase the level of sponsored project funding, and to protect the University's interest in complying with the sponsored project requirements to which Boston College and sponsors may agree.
Office of Research	Web site, classes, support.
Office of Research & Sponsored Programs	General grants and contract management.
Office of the Vice Chancellor for Research	This office oversees research including grant & contract proposals, Protocol review (IRB), and training for responsible conduct in training.

Department/Unit	Services and/or Resources Provided
Office of the Vice-President for Research	The goal of the research area is to foster the growth and development of the university's research programs and facilitate the university's role as the principal research institution in the state's system of postsecondary education. The Office of the Vice President for Research leads efforts to strengthen, expand, and develop programs throughout the university. The Vice President provides oversight for multidisciplinary research centers and institutes and research support units and program assistance to individual faculty and academic research units. The Vice President is the institutional officer responsible for university adherence to governmental regulations relating to the conduct of research. Reporting to the Vice President are the offices of Administrative and Fiscal Affairs; Federal Relations; Research Communications/Odyssey; and Research Information Services. The university's Office of Sponsored Projects Administration (which reports to the Vice-President for Research) responds to questions from faculty and researchers regarding public access policies. The university Office of Legal Counsel also provides support to faculty and researchers concerning language in publication/copyright transfer agreements.
Vice President for Research, Office of Research Compliance	

If you answered yes above or if planning for such resources and/or services is in process, please complete the survey. N=51

If you answered Not yet or No above, please click the Next>> button below to submit the survey now. N=19

LIBRARY THAT PROVIDES PAP COMPLIANCE RESOURCES AND/OR SERVICES

2. Please indicate which type(s) of library(ies) provide PAP compliance resources and/or services. Check all that apply. N=51

Main campus library	39	76%
Library supporting the health professions (Medicine, Nursing, Dentistry, Pharmacy,		
Optometry, etc.)	33	65%
One or more science libraries OTHER than those supporting the health professions	20	39%
Other type of library	6	12%

Please identify other type of library.

> All branch libraries provide advice. Library Technology Service includes one person responsible for e-scholarship@mcgill and advice is provided by this person.

> All subject librarians who have researchers with NIH or HHMI funding.

> Project Manager, Institutional Repository; Project Manager, Scholarly Communications. Projects are in process of being operationalized. Contact: Associate University Librarian, Collections & Scholarly Communications.

> The university has thirteen libraries. They each provide different a level of service in the above area.

> Services to help faculty and students with copyright, publishing and intellectual property questions/issues are provided by liaison librarians and others throughout our multi-branch system. See http://www.library.ucla.edu/service/9846.cfm for the gateway to information about these services.

> The Science Library provides support for all sciences, including the health professions (Nursing, Public Health, Medicine).

3. If more than one library provides PAP compliance resources and/or services, do they all follow the same strategy/provide the same resources and/or services? N=40

Yes	30	75%
No	10	25%

If No, please select one of the libraries and complete the survey based on that library's activities. Please indicate for which type of library you are responding. N=10

Main campus library	5	50%
Library supporting the health professions (Medicine, Nursing, Dentistry, Pharmacy, Optometry, etc.)	2	20%
Science library OTHER than those supporting the health professions	1	10%
Other type of library	2	20%

Please identify other type of library.

> Libraries Administration.

> Projects: Institutional Repository; Scholarly Communications. Associate University Librarian, Collections & Scholarly Communications.

PUBLIC ACCESS POLICIES SUPPORTED

4. For which public access policy(ies) does this library provide resources and/or services? Check all that apply. N=51

National Institutes of Health	48	94%
Institutional policy	10	20%
Wellcome Trust	6	12%
Howard Hughes Medical Institute	5	10%
Canadian Institutes of Health Research	4	8%
Regional/state policy	1	2%
Other policy(ies)	7	14%

Please identify other policy(ies).

Autism Speaks.

Columbia Libraries/Information Services' (CUL/IS) Scholarly Communication Program Web site has information specific to the NIH Public Access Policy. Another page on PAPs in general will be launched this spring. And the CUL/IS Copyright Advisory Office can address questions individual researchers have about other PAPs.

General policies to which Canadian funding agencies are working.

Institutional guidelines voted on by the Faculty Senate in May 2007.

The JHU Scholarly Communications Group has drafted a proposal for consideration by the Council of Deans under the auspices of the Dean of Libraries and the Vice Provost for Research. The proposal calls for faculty to archive their scholarship in our IR, JScholarship.

Tri-Council agency: Canadian Institutes of Health Research (CIHR); Natural Sciences and Engineering Research Council of Canada (NSERC); Social Sciences and Humanities Research Council (SSHRC). Library's role: referral, facilitator, educational (Scholarly Communications); Librarys role: institutional repository: consultations, referrals, education.

We have a special program, the Open Publishing Support Fund, that supports open access in general, including public access policies.

ORGANIZATION OF PAP COMPLIANCE ACTIVITIES

5. Which individual or group has primary responsibility for coordinating and/or planning the library's activities to support authors' compliance with PAPs? Check the one item below that best describes the organizational structure. N=51

A combination of the individuals and/or groups below	25	49%
A single individual working as a PAP activities coordinator	7	14%
A standing committee(s)/team(s) that is charged with coordinating PAP activities	7	14%
An ad hoc committee that is charged with coordinating PAP activities	4	8%
Each librarian who works with authors who are subject to PAP compliance	3	6%
Other organizational structure	5	10%

Selected Comments from Respondents

Standing Committee

The University of California Libraries have a Scholarly Communication Officers Group that conceives and supports strategies and methods to advance the UC Libraries' scholarly communication agenda. Members of this group coordinate the implementation of these programs at the campus level. At the UCI campus, the UCI NIH Group is the local committee that addresses these issues.

Ad hoc Committee

Ad hoc committee: refers to two Projects: Institutional Repository; Scholarly Communications Planning in progress for operationalizing. Contact: AUL, Collections & Scholarly Communications.

We have an ad hoc committee that is coordinated by a single person.

Combination

Each liaison librarian is responsible for working their authors, however, one individual is responsible for being the go-to guru on all aspects. In addition, the group that oversees the institutional repository also can get involved, when needed.

The Health Sciences Library director worked with the School of Medicine's Associate Dean for Research Administration and the University's Office of Sponsored Projects Administration in developing the PAP support program.

The Scholarly Communications Committee; Associate University Librarian for Collections.

There is a single Scholarly Communication Librarian who is responsible for coordinating the library's activities but the library liaisons are working with their academic department faculty to educate them about public access policies/guidelines.

We all rely heavily on expertise and services developed and offered at the medical library; there is a scholarly communications group which has some coordinating activity but mostly the medical library takes the lead.

Other Organizational Structure

As 'Special Advisor/Liaison to the General Counsel' I provide workshops and individualized review for faculty and administrators on issues of copyright, open access, compliance.

In the Digital Programs and Technology Services (DPTS) division, there are a variety of ways in which authors' compliance with PAPs is supported. The Center for Digital Research and Scholarship runs a Scholarly Communication Program that works to educate faculty on the requirements of PAPs. The information pages on the NIH Public Access Policy that appear on the Scholarly Communication Program Web site, and outreach that was done around the NIH's policy when it was first enacted, were coordinated by an ad hoc committee with representatives from the Main and Health Science Libraries, the Office of Research, and the General Counsel's Office. The Copyright Advisory Office, also part of DPTS, educates faculty on complying with PAPs and provides assistance with questions about PAP requirements and publishing contracts. Individual librarians are also a conduit of information.

INDIVIDUAL PAP ACTIVITIES COORDINATOR

6. Please provide the following information about the individual PAP activities coordinator: position title and approximate percentage of time devoted to PAP activities. N=7

Assistant Director of Digital & Branch Libraries	10%
Coordinator of Scholarly Communication	—
Evelyn Schneider Endowed Chair of Scholarly Communication	10%
Head of Scholar Services	5%
Liaison Coordinator, Medical Library	5%
Scholarly Communication Librarian	2%
Scholarly Communications Specialist	35%

7. For which of the following PAP activities is the individual coordinator responsible? Check all that apply. N=7

Monitors PAP developments on the local/regional/national/international level	6	86%
Develops resources/programs to expand awareness of PAPs	6	86%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	6	86%
Consults with authors and/or their support staff on PAP compliance needs	5	71%
Provides mediated deposit for authors	3	43%

| Coordinates library staff PAP training activities | 2 | 29% |
| Other PAP activity | 1 | 14% |

Please specify other PAP activity.

Educates faculty and administrative staff through presentations and individual consultations.

8. Does this position collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=7

| **Yes** | 6 | 86% |
| **No** | 1 | 14% |

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit.

Department/Unit	Type of Activity
Office of Research, Office of Grants and Contracts, Office of the Executive Vice Chancellor and General Counsel	
Office of Research and Graduate Studies, Research Integrity unit	RGS and Libraries representatives met to determine how best to support PIs. The PAP resources Web page is hosted on the RGS Web site; the Libraries provided the text for the webpage, and a librarian is the point of contact for help. RGS sponsored a symposium on the NIH policy; the Head of Scholar Services was the presenter.
Office of Research and Project Administration (ORPA)	ORPA mainly handles issues having to do with compliance with PAP mandates. Miner Library (health sciences library) handles issues having to do with copyright, publisher policies, and submitting papers to open access repositories.
Research Office, General Counsel, Grants/Contracts	
This is really a probably as we are still in the development process.	

STANDING COMMITTEE/TEAM CHARGED WITH COORDINATING PAP ACTIVITIES

9. Please provide the following information about the standing committee/team: name of standing committee/team, position title of standing committee/team leader, number of standing committee/team members. N=7

Standing Committee/Team Name	Committee/Team Leader	Members
Research Services subgroup	Professional Librarian, MSLIS	5
Scholarly Communication Committee Across Campuses	Chief Officer of Collections and Scholarly Communication	6
Scholarly Communications Committee	IDEALS Coordinator (Digital Repository Manager)	8
Scholarly Communications Committee	Director of Scholarly Communications and Instructional Support	6
Scholarly Communications Group of the University Libraries Council	Chair	6
UCI NIH Group	AUL for Collections	7
N/A	N/A	2

10. For which of the following PAP activities is the standing committee/team responsible? Check all that apply. N=7

Develops resources/programs to expand awareness of PAPs	7	100%
Monitors PAP developments on the local/regional/national/international level	6	86%
Consults with authors and/or their support staff on PAP compliance needs	6	86%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	4	57%
Coordinates library staff PAP training activities	4	57%
Provides mediated deposit for authors	1	14%
Other PAP activity	1	14%

Please specify other PAP activity.

Proposal to mandate archiving of faculty scholarship

11. Does the standing committee/team collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=7

Yes 7 100%

No —

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit.

Department/Unit	Type of Activity
Office of Research	Identification of grants that have open access contingencies.
Office of Research, Office of the General Counsel, Vice Provost for Research, various deans for research	Consultation, expertise, drafting of language, advocacy for policies in support of public access.
Office of Sponsored Awards Management	
Office of Sponsored Projects	Library brought existence of NIH mandate to attention of Office of Sponsored Projects and suggested strategy to comply with it; provided online resources to OSP to aid its understanding of the issues.
Office of the Vice President for Research and Economic Affairs, Office for Research and Sponsored Projects Administration, and Office of General Counsel	
UCI Office of Research Administration	Collaboration/partnership between the Libraries and the Office of Research Administration.
Vice Chancellor for Research (which oversees the Office of Sponsored Research)	We raise awareness with departmental libraries and library liaisons and will talk with faculty who have questions about the policy.

AD HOC COMMITTEE/TEAM CHARGED WITH COORDINATING PAP ACTIVITIES

12. Please provide the following information about the ad hoc committee/team: name of ad hoc committee/team, position title of ad hoc committee/team leader, number of ad hoc committee/team members. N=4

Ad hoc Committee/Team Name	Committee/Team Leader	Members
CSU NIH Submission Task Force	Interim Dean of the Libraries	5
No official name	Cynthia Robinson, Director, George T. Harrell Library, Hershey Medical Center	4
Project: Scholarly Communications	Project Manager	10
The ad hoc group isn't really a committee, and it is very informal.		

13. For which of the following PAP activities is the ad hoc committee/team responsible? Check all that apply. N=4

Monitors PAP developments on the local/regional/national/international level	4	100%
Develops resources/programs to expand awareness of PAPs	3	75%
Consults with authors and/or their support staff on PAP compliance needs	3	75%
Develops/coordinates services to help authors and/or their support staff comply with PAPs	2	50%
Coordinates library staff PAP training activities	2	50%
Provides mediated deposit for authors	—	
Other awareness activity	2	50%

Please specify other awareness activity.

The provision of mediated deposit is not an ongoing service. However, it has been undertaken in a few specific cases to ensure that authors were familiar with the process.

Institutional Repository: consults with authors. Planning underway for other possible roles.

14. Does the ad hoc committee/team collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=4

Yes	3	75%
No	1	25%

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the library and other department or unit. N=3

Department/Unit	Type of Activity
Office of Sponsored Programs, Office of General Counsel	Serve as a resource with the Office of Sponsored Programs.
Office of the VP for Research. External legal counsel were consulted to develop an addenda that could be used by authors to ensure that their publishing contracts comply with NIH policy. Worked collaboratively with Office of Research Affairs.	The University Libraries took the lead on developing information resources, creation of a Web site, and training (both one on one and groups). The Office of VP for Research undertook overall communication and compliance efforts with researchers.
Office of Research Services	ORS: provides library with information about grant holders. Library: will ensure authors' works are deposited in cIRcle (the library's IR) — in planning stage.

COMBINATION OF INDIVIDUALS AND/OR GROUPS COORDINATE PAP ACTIVITIES

15. Please indicate which of the following individuals and/or groups has responsibility for coordinating and/or planning the library's PAP compliance support activities. Check all that apply. N=25

A single individual working as a PAP activities coordinator	12	48%
Each librarian who works with authors who are subject to PAP compliance	11	44%
A standing committee(s)/team(s) that is charged with coordinating PAP activities	9	36%
An ad hoc committee that is charged with coordinating PAP activities	6	24%
Other individual or group	10	40%

Please describe other individual or group.

An ad hoc group (no charge) with members from main library and health library provided campus presentations to introduce the NIH PAP, demonstrated the submission process via available tutorials, and answered follow up questions about PMC IDs, compliance, etc., via e-mail or phone or office visit.

CISTI is the library of the National Research Council of Canada (NRC). NRC has about 20 institutes. The activities are coordinated centrally and there are representatives at each institute.

Health Sciences Library director.

Libraries Administration.

Library assistant to help with submissions.

Medical Center Librarian and Scholarly Communications Officer coordinate compliance support together.

Office of Research Services.

One of our Science Librarians provides promotion and leads this on an ad hoc basis (also a member of the scholarly communications committee). The digital Initiatives Librarian (also a member of that committee) and her support staff. The Associate University Librarian has set up a fund within the budget to subsidize author fees.

There is a ScholarWorks Team that works together on these topics. Also, several of the library liaisons (Liaisons Council) are starting to monitor developments in their specific subject areas.

Three librarians in consultation with the Office of Research.

16. Please indicate for which of the following PAP activities each participant is responsible. Check all that apply. N=25

	N	Individual Coordinator N=16	Each Librarian N=12	Standing Committee N=11	Ad hoc Committee N=5	Other Individual or Group N=13
Monitors PAP developments on the local/regional/national/international level	24	12	7	7	3	7
Develops resources/programs to expand awareness of PAPs	24	11	6	9	4	9
Consults with authors and/or their support staff on PAP compliance needs	22	10	10	2	1	8
Develops/coordinates services to help authors and/or their support staff comply with PAPs	21	10	7	6	3	7
Provides mediated deposit for authors	14	3	3	3	2	5
Coordinates library staff PAP training activities	19	11	1	6	1	4
Other activity	7	2	1	1	1	3

Please specify other activity and the corresponding participant.

Participant			Other Activity
Individual Coordinator			Maintains Web site.
Individual Coordinator	Each Librarian		Web site: contributors are coordinator and librarians.
		Other Individual or Group	1. Suggested wording for faculty copyright addendum: Intellectual Property Rights Officer, Main Library. 2. Created Web pages with links to NIH PAP main page and other supporting resources: Library Specialist, Health Sciences Library & IP Rights Officer, Main Library. 3. Article in Research Administration newsletter: Health Sciences Library Director.
		Other Individual or Group	Keeps University and School of Medicine research and compliance offices updated on PAP support activities, including regular announcements in an online newsletter.
		Other Individual or Group	Promotion with Research officers and grantees in different departments, this is done by our Science Librarian (above); as described above agreements for funds to pay Public Access fees for university authors who publish with certain publishers, such as BioMed.
			Medical Center Librarian monitors developments and coordinates Web resources for authors. Librarians within medical center library provide support for deposit. Scholarly Communications Officer coordinates policy development and supports authors in retaining needed rights.
			Some individual librarians do provide mediated deposit but most refer to this service provided to all authors at our institution at the medical library; for one group of librarian staff training there is a coordinator of subject librarians.

17. Do any of the individuals or groups collaborate on PAP activities with other departments or units within the institution (such as the Office of Research, the Office of Grants and Contracts, or the Office of General Counsel)? N=25

Yes	24	96%
No	1	4%

If yes, please list the department(s) or unit(s) and comment on the type of activities and the roles of the individuals or groups and the other department or unit. N=24

Department/Unit	Type of Activity
Biomedical Library Outreach	Training, Web site, information, consultation
Groups responsible for management of intellectual property, for planning & performance management and for corporate communications	Intranet Web site, FAQ
In the sciences	Information sent to local CIHR coordinator.
Office of Grants and Contracts, Office of Research	The librarians tend to keep abreast of developments, provide training and assistance, and recommend procedures. The units external to the library tend to serve more as receivers of information than leaders in responding to it.
Office of Research	Information sharing and consultation
Office of Research	To help with publicizing the library's efforts and maintaining awareness of the resources available.
Office of Research, Office of General Counsel	
Office of Research Affairs and its Compliance Department and its Office of Grants and Contracts; University General Counsel and University System General Counsel's Office; Office of Outreach; Graduate School	Please see previous comments re NIH for the Office of Research. We have worked with the General Counsel and both the campus and university system level to share our documents on Author Rights, electronic journal MOU, the Faculty Senate motion regarding open access, and other guideline and policy documents to get their approval and to provide education about digital scholarship developments. Office of Outreach to provide education and training to their staff and faculty associated with that office regarding Author Rights, Open Access, and ways to move forward in that environment. The Office of Outreach is recommending that faculty engaged in scholarly outreach contribute their materials to our digital repository, ScholarWorks @ UMass Amherst. There is not yet a policy in place.
Office of Research Services	
Office of Research Support	Primarily promoting awareness and directing researchers to needed resources as above.
Office of Research, General Counsel	Informational correspondence with PIs; review of legal matters such as addenda.
Office of Sponsored Programs, Office of General Counsel	Scholarly Publishing & Licensing Consultant worked with OSP to speak at one of their roundtables for administrative assistants about complying with the NIH policy. OSP tracks national developments that affect grant-funded research.
Office of Sponsored Programs, Office of Grants & Contracts	OSP/OGC will monitor policy compliance. Library staff have assisted research administrators to provide evidence of submission to PubMed Central for progress reports.
Office of Sponsored Projects	

Department/Unit	Type of Activity
Office of Sponsored Projects Administration (SPA)	SPA is the university system-wide office authorized to submit research proposals and receive awards from external sources on behalf of the Board of Regents. SPA is also the fiduciary for the university on grant-related matters. They have coordinated with the libraries on providing help and information.
Office of Sponsored Projects Administration (university level); Office of Research Compliance (university level); Office of Research Administration (School of Medicine level); Office of the General Counsel (university level)	Drafted letter from the Provost and the VP of Research for authors to send to publishers along with their manuscripts stating that the university complies with the NIH Public Access mandate and requesting that the publisher deposit the published article or manuscript in PubMed Central in compliance with the policy, or grant the author the right to deposit the manuscript. Notification of presentations, workshops, and training sessions distributed electronically to the entire university research community.
Office of Sponsored Projects, Counsel's Office, Purchasing/ Licensing, Department of Information Technology	
Office of Sponsored Research, the Texas Academy of Medicine, Texas Medical Center Library (HAM-TMC)	Sponsored Research lists the link to the library's webpage for assistance with NIH compliance as well as links to NIH's Web site and policies. Rice and HAM-TMC library have an ad hoc committee for scholarly communications; we've sponsored talks by NIH compliance folks to the faculty of Rice and the Houston Medical Center colleges.
Office of the General Counsel, Research Compliance	General Counsel reviewed Author Addendum. Research Compliance monitors and educates concerning mainly NIH and federal funding mandates.
Office of the Vice President for Research, Division of Research Development and Administration	We have collaborated with OVPR and DRDA on outreach and awareness raising activities to inform NIH Grantees about their new deposit obligations. That is the only role OVPR and DRDA have had in supporting compliance, and those activities only happened shortly after the policy became law.
Office of Vice President for Research	We worked together to write an e-mail telling all faculty of the new NIH policy. The e-mail came from the OVPR office and referred to the library for questions.
Research Administration	Planned for 2009: conduct a survey to check compliance rates.
University Copyright Office, Office of Research	
VP for Research, Sponsored Projects, Research Compliance, College of Medicine	Access to listserves, slot at orientation sessions, other publicity opportunities.

OTHER ORGANIZATIONAL STRUCTURE TO COORDINATE PAP ACTIVITIES

18. Please briefly describe the organizational structure to coordinate/plan PAP activities in this library. N=5

One person show.

School of Medicine Librarian worked with Office of Research - Sponsored Awards Management to coordinate info on NIH Policy and produced a Web page. Additional librarian provides one-on-one support as requested.

Several units within the Digital Programs and Technology Services (DPTS) arm manage PAP activities. The Associate Vice President for DPTS coordinates these activities with Center for Digital Research and Scholarship and Copyright Advisory Office staff. The Scholarly Communication Program advisory board, made up of the AVP for DPTS as well as the directors of the Copyright Advisory Office and Center for Digital Research and Scholarship, the Assistant Director for Collection Development, and the Head of Reference and Education Coordinator at the Health Sciences Library, also maps out plans for PAP education. Library subject specialists are often asked to advise the staff mentioned above on how to best catch the attention of faculty.

The Library's Scholarly Communication Steering Committee is responsible for coordinating and/or planning as noted. The Associate University Librarian is responsible for collection management and scholarly communication and chairs the Scholarly Communication Steering Committee.

The UC-wide eScholarship program and a consortium of campus library representatives for scholarly communication.

RESOURCES TO SUPPORT AUTHOR COMPLIANCE WITH PAPS

Please tell us about the **resources** the library provides to help authors and/or their support staff comply with PAPs.

19. Please indicate which of the following resources the library provides. Check all that apply. N=51

Web site with PAP information	46	90%
Web site with links to external resources	45	88%
Copyright addendum to help authors retain the right to comply	44	86%
Presentations (e.g., canned PowerPoint presentations, Breeze tutorials)	29	57%
Listing of journal publisher policies	19	37%
Sample letters to publishers (e.g., explaining the NIH Public Access Policy)	18	35%
FAQs	17	33%
Blogs	13	25%
Brochures or Pamphlets	13	25%

Newsletters	6	12%
Other resource(s)	27	53%

Please describe other resource(s).

A deposit flow chart describing the steps to compliance.

A Web site serves as the main gateway to information on scholarly communication. The heart of the Web site is a blog that is regularly updated with information about developing issues, policy debates, and proposed solutions. There are also links to upcoming events, UC-wide initiatives, and information and resources to aid faculty and students in answering copyright-related questions. For the blog, see http://blogs.library.ucla.edu/ipmanagement. In addition we offer our researchers a "helpline" (phone number and e-mail address) for their immediate questions.

Basic Web site inviting faculty to contact us for publishing/compliance advice.

Consultation with authors.

Creation and maintenance of a database providing access to publisher-specific and journal-specific compliance policies. Journals listed include subscription titles and journals in which institutional authors publish.

Dedicated e-mail address for questions.

E-mail reminders about the policy and linking to the Web site.

Guidance for third party submitters.

Handouts on bibliographic citation management software [Reference Manager and EndNote] used to comply with the NIH reporting requirements. Library staff will submit manuscripts and supporting files to PubMed Central for PIs.

Individual consultation.

Individual consultation with authors and their support staff as requested.

Individual support.

Instructional sessions.

Legal consultant (Scholarly Communications Officer) to assist in understanding and negotiating publication contracts.

Link to easy guide for determining whether or not an author is affected by the policy. This is a document created by Becker Medical Library, Washington University School of Medicine.

Listserv for questions.

Live presentations.

Mostly links to other resources.

One-on-one contacts with authors. Currently involved in a series of interviews of NIH-funded authors to determine their needs and approaches.

One-on-one help as requested.

One-on-one discussion. Web site links to other pertinent PAP Web sites such as Sherpa Romeo and FAQs.

Powerpoint chart illustrating steps necessary to submit an article to PubMed Central in compliance with the NIH Public Access Policy. The NIH Policy is also discussed in the context of publication agreements.

Speaker Series.

Teaching sessions and one-on-one meetings.

Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author.

Web site is in preparation.

Word of mouth. Questions asked from faculty during presentations on library services.

20. **Of the resources provided, identify up to three that appear to be the most effective for helping authors at your institution comply with PAPs. N=45**

Resource 1	Resource 2	Resource 3
Addendum	Consultations	Web site
Brochures	Web site	Presentations
Certainly in-person presentations— either one-on-one or to a group—seem to be the most effective. This is when researchers engage with the topic. It is hard to catch their eye with an e-mail or a link to a Web site.	It seems the Web site has been helpful to those who have seen it, but it is not widely used.	
Consultation with authors	Web site	Brochures
Copyright addendum	Web site	Presentations
Copyright addendum Web site	Specific listings of journal publisher policies Web site	Local Web site with PAP info
Database of compliance information	Online FAQ and tutorials	Presentations/coaching
E-mail	Web site	
E-mail address for questions	Sample letter to publishers	Web site
FAQ	Link to e-mail and phone number of the Executive Director of the Center for Digital Scholarship	Easy Guide document
Handout	Personal discussions	Web site
Health Sciences Libraries Web site describing the NIH Public Access Policy with links to sample author addenda, etc.		
Individual consultation	Presentations	Web site and FAQ

Resource 1	Resource 2	Resource 3
Informational Web site	Presentation to faculty	
Libguide on the NIH submission process linked from library's webpage	Links to external resources	Word of mouth
Listserv for individual questions	Web site with links to external resources	Sample letters
NIH PAP webpage	Special Health Sciences Library newsletter issue (reprinted)	Library webpage links to external NIH resources
Office of Research Services grant applications	Individual librarian consultations	Faculty newsletter
One-on-one contacts with authors	Presentation to administrative assistants	Web site
One-on-one meetings	Publishing SMART class	Web site with PAP information
Personal interaction with individuals		
Presentations	Publishers policies	Web site
Presentations and workshops	Liaison librarians' referrals, information gathering	Individual communications by IR Coordinator and Project Manager, Scholarly Communications, with authors
Presentations to directors, managers, and authors	FAQ	Negotiations with publishers on behalf of all NRC authors
Providing a copyright addendum along with sample letter to publishers. We consider that to be one resource package.	Presentations to faculty groups	Providing the LibGuide with relevant information all in one place
Reference Manager handout	EndNote handout	Department-specific in-person presentations supported with PowerPoint slides
Referrals from office of research to the library		
SPARC's brochure: Author Rights	SPARC's brochure: Right to Research	Various printouts on NIH mandate compliance
The flow chart	Presentations and workshops	
Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author	Reminders sent to PI listserv	
Webpage		
Web site	Links	Blog
Web site	Sample letter	Legal consultant
Web site		
Web site with information about the NIH mandate	Presentation on author rights that talks about the NIH policy	

Resource 1	Resource 2	Resource 3
Web sites	Individual consultations	Presentations to groups (not canned)
Web site	Presentations	
Web site about the NIH Public Access Policy	Instructional sessions/training: presentations and classes about the policy and how to comply with it.	Personal contact
Web site	Flowchart for Compliance	Presentations
Web site on NIH Public Access policy. Also briefly discusses copyright retention.		
Web site with links to external resources	Brochures	Publishers policies
Web site with PAP information	Listing of Journal Publisher Policies	Individual Support
Web site with PAP information	Web site with links to external resources	
Web site with PAP information.	One-on-one discussion between subject/reference librarian and affected faculty.	Departmental presentations.
Workshops	Web site	Individualized counseling

SERVICES TO SUPPORT AUTHOR COMPLIANCE WITH PAPS

Please tell us about the **services** the library provides to help authors and/or their support staff comply with PAPs.

21. Does your institution currently provide a digital repository that fulfills the deposit requirements of a PAP? N=51

Yes	27	53%
No	24	47%

If yes, does the library manage the repository?

Yes	23	85%
No	4	15%

22. Please indicate which of the following **services** the library provides. Check all that apply. N=47

One-on-one consultation with authors and/or staff (e.g., about deposit procedures, author rights, etc.)	43	91%
Classes/workshops/presentations on compliance for authors and/or staff	34	72%
Review copyright agreement forms	28	60%
Third party submissions to institutional repository on behalf of authors	22	47%
Contact publishers on behalf of authors (e.g., explain institutional policies, clarification on submission status)	18	38%
Third party submissions to central repository on behalf of authors	13	28%
Online tutorials on how to comply with PAPs	4	9%
Other service(s)	10	21%

Please describe other service(s).

Check publishers' authors guidelines to determine if the publisher automatically complies with the NIH Public Access mandate, and/or will grant the author permission to deposit a manuscript.

E-mail question box.

Grant applications.

Librarians regularly review of copyright agreement forms.

Locate journal policies, provide a listing of journals that allow for NIH-funded authors to comply; customized presentations to departments, divisions or programs; review of citations to be included in a proposal, progress report or application to confirm that documentation of compliance is noted for applicable citations; contact publishers for permission to comply retroactively; to name a few.

Systemwide eScholarship repository that faculty may deposit into to meet public access requirements.

The Scholarly Communication Steering Committee assists faculty with copyright questions and use of the eScholarship Repository. Within the University of California, each campus library has an eScholarship liaison who can provide more information on eScholarship activities. Finally, the Copyright, Publishing and Intellectual Property Web site includes up-to-date resources that provide information about and assistance with intellectual property issues involved in publishing, teaching, and research.

The university has an institutional repository but depositing papers in it does not fulfill PAP requirements.

These activities are on a very limited basis.

Web site on what funders require; contact funder on behalf of author (ask questions of NIH).

23. If classes/workshops/presentations are offered, please provide the following information for 2008: number of sessions offered, number of participants. N=30

Sessions Offered	Participants	Comments
1	40	We only held one session that was only on public access policies, and it was specific to the NIH policy. We've held other sessions (at least four) about author rights issues that touch on public access policies.
1	4	
1	20	
2	40	These have been presentations by a member of the National Network of Libraries of Medicine
2	75	
2	130	
3	120	
3	~ 70 total	The workshops were a collaboration between the Health Sciences Library, Main Library, and the Office of Research. We attended prescheduled meetings of different groups and made a short presentation. Though some researchers were enthusiastic about the policy, there was a lot of grumbling about the extra administrative headache compliance would entail.
3	10	Turn out was not large as expected. However, the classes may have been offered too soon for faculty to worry about NIH Policies. There is more concern now and I expect the faculty turnout would be much higher.
3	160	
3	60	
4	48	
4	212	OSP/OGCA staff/ School of Medicine Research Administrators Open sessions (2) in research bldg & in SPH
4	35	Presentations and workshops mostly aimed at graduate students, but have some faculty participation
5	50	
6	123	
6	91	
6	160	People want to comply, but feel overwhelmed by unfunded mandates.
6	hundreds	
9	58	32 evaluations were filled out (we didn't do them for the first class). 27/32 (84%) said the class was valuable for their job. 4/32 (13%) didn't indicate whether is was valuable or not. 1/32 (3%) said the class was not applicable to their job.

Sessions Offered	Participants	Comments
10	150	We started with presentation to an auditorium filled with administrators (about 80) and captured the presentation on video. That presentation is now available on the Web. We have subsequently done presentations for departments (average attendance 15-20). We offer regularly scheduled classes on Reference Manager and EndNote in which NIH Public Access compliance is a major component.
10	257	The numbers reflect Hershey presentations plus one videotaped presentation at University Park.
11	200	
12	150	
12	250	
14	150	
14	250	We offer one NIH Policy Class per quarter and custom presentations upon request.
20	150	Scholarly Communications workshops (includes topic: PAPs)
50	approx. 1,500	Becker Library provides two types of presentations: customized and generic. Customized presentations are very effective means of providing information about the NIH Policy.

Additional comments

No formal classes but included in general presentations.

The library's Summary of Instructional Activity (SIA) database has recently been enhanced to facilitate the reporting of scholarly communication activities. This will allow individual librarians and library staff to track activity in a systematic way that heretofore we did not. Noting below the definition of scholarly communication we are using in the database: "Communication with a student, faculty, or staff, on a range of topics associated with intellectual property and publishing, including authors' rights, copyright, use of copyrighted materials, new scholarly publishing models and open-access initiatives, and the UC eScholarship Repository. Communication may be to an individual or groups and may occur in a variety of locations or formats, for example, in person, in an office or a classroom, or via e-mail, chat, telephone or text." For further information about the SIA database, contact Marion Peters in our Science and Engineering Library.

The NIH workshop was especially well received with lots of valuable comments and connections made among the attendees. Prior to the NIH workshop, there was general confusion about how to proceed, what it meant for them as researchers, and significant concern about how much time all these mandates take away from the actual research. We did not track the numbers of sessions or attendees—obviously need to start doing this like we do for bibliographic instruction sessions.

24. If one-on-one consultations are offered, please provide the following information for 2008: number of consultations, three most asked questions. N=30

Consultations	Three Most Asked Questions:	Comments About Consultations
2	Will the publisher allow me to deposit into PubMedCentral? Do I need to do anything special?	Consultations are often generally around copyright transfer; I tend to ask questions about the NIH mandate during that discussion.
2		Mostly needed to point authors to NIH tutorials and FAQs
3		
4	How do I find out the PMC ID number for my article? Why can't I deposit the final published article? Why is NIH doing this?	
4	1. Who is responsible for making sure this gets done? Closely related question: Can we assign a staff member to process all of these requirements? 2. What about past publications? Closely related: If I want to upload past publications, even though not required under the law, what do I have to do to clear the rights? 3. How can I make sure that my agreement with the publisher allows me to make the PMC deposit?	
4	1. Does PAP apply retroactively? 2. Did I submit correctly? 3. Do I need to submit this article?	Two were easy; two required research, but all were successfully resolved.
5	How do I get my PMC ID? Does the publisher submit my article to PubMed Central or do I have to do it? What do I submit and in what format?	One of the most frustrating issues that authors are dealing with is that they submit their manuscripts (or I submit for them) to NIHMS and there is a long turn-around period before it's entered into PubMed Central. The PIs only have their NIHMS reference number to use in their reports to NIH, but the program officers keep pushing for the PMC ID; it's a catch 22!
6	How do I submit my paper to NIH? What are the open access policies of X publisher?	They work well and the faculty appreciate the effort that we make to help them.
7	Publisher policies related to compliance.	
10	How and where to submit final peer-reviewed papers funded by NIH.	

Consultations	Three Most Asked Questions:	Comments About Consultations
10	How do I get my PMC ID number? Will my publisher deposit for me? How do I deposit my manuscript in X journal?	Thank you very much. hank you so much, you saved me a lot of time. Thank you for pointing me in the right direction.
10	1. Why is NIH doing this? 2. How can I verify compliance? 3. Can our repository coordinate with PubMed?	
10		
10	1. How do I know what the publisher's policy is for manuscript submission? 2. Questions about paid open access offered from the publisher. 3. Use of PMC ID versus PM ID for non-competitive renewal annual report.	After the initial hands-on mediated deposit of a manuscript demonstration, the authors rarely need more instruction.
10	1. What elements of my contract can I negotiate? 2. What should I do if the publisher will not negotiate? 3. May I used the content in class or create derivative works?	Most of the questions I've received have been in the context of publisher contracts and intellectual property rights in general, rather than directly related to the NIH mandate.
12	I submitted the manuscript before the NIH Public Access mandate became law, but it wasn't accepted until after April 7, 2008. I did not ask for permission to submit the manuscript to PubMed Central myself. Can I still submit it? I have been submitting articles to the same publishers for years but I have no idea if they comply with the NIH Public Access mandate. Can you check the policies of these [12 or 20 or ...] publishers for me? My NIH progress reports have been rejected because of the format of my bibliographic citations. Can you help me fix that?	Very effective, and very much appreciated by the PI.
12	Does this (NIH) policy apply to this article?	
12	How long will it take? Are other funding agencies (besides NIH) considering a PAP? How do I get the IDs I need to use the NIH submission system?	
12	See Web site	

Consultations	Three Most Asked Questions:	Comments About Consultations
16	1. Clarification of how to use the PubMed Central ID number (PMC ID.) 2. Who is responsible for submission to NIH? - Author, PI, University, lab manager, or publisher? 3. Clarification of policy enactment dates.	
16	Does my agreement permit deposit. May I deposit older articles (often agreement not available)? How should I approach publisher about deposit?	
20	Is journal X compliant? Can someone other than the author submit the manuscript? What are PMC ID numbers?	
20	How do I comply with the NIH or CIHR mandate? What is this journal's compliance with the OA mandate? What do I do if this journal does not comply with the OA mandate?	
30	I'm publishing in _____ journal and I'm NIH funded; what do I need to do to comply? Do I need to pay the $x thousand dollar fee for open choice (or whatever) in order to comply with NIH? I'm doing a grant request (about half the time this is HHMI) and I need to make all these references open access because that's what they say they want; help me please.	It's getting easier as many publishers clarify their procedures
35		
35	1. Applicability of a work to the NIH Policy. 2. The submission process in general. 3. How to demonstrate compliance with the NIH Policy.	Most consultations are via e-mail. The above number for one-on-one consultations are for face-to-face consultations and does not include e-mail consultations. Becker library averages about 20 e-mail consultations per week. These are very effective as it allows for more information to be included that can be retained for future use.
75		
100	How can I share my work with colleagues? How can I retain my copyright? Do I have to sign the copyright transfer agreement?	

Consultations	Three Most Asked Questions:	Comments About Consultations
120	1. How do I know if I have the copyright in my article? 2. Do I have to deposit this article in PMC? 3. What is the difference between the final author manuscript and the publisher PDF?	A large portion of these consultations are with support staff who will handle deposit for many faculty members in a department. Some of these staff choose to use the Library's deposit service and some will handle deposit themselves.
n/a	What do these options in the ACS agreement for NIH funded authors mean and which one should I choose? Isn't my publisher taking care of this for me? Does this agreement cover me in relation to the NIH policy?	Many authors do not consult because they believe their publishers are taking care of this for them.
NA		We used a train the trainer approach to train one person in each of the libraries that might be impacted by the policy to field NIH Public Access Policy questions (i.e., Science & Engineering Library, etc.)
U/A	Is there Library support for Author fees? What are the eligible journals for open access?	
unknown	How quickly can you negotiate use of the NRC Licence to Publish form with publisher X? I'm being asked to sign the publisher's Licence to Publish form, which doesn't allow for retaining the same list of rights as the NRC Licence to Publish form. Can I sign it or can I submit both forms?	
	1. Does this really apply to me? 2. What will happen if I don't do it? 3. Why is the library making me do this?	We did consultations, but didn't keep track of the number.
	Copyright technical issues	No statistics kept

Consultations	Three Most Asked Questions:	Comments About Consultations
	After learning more about open access and existing public access policies, we are asked: What can I do in my field to foster the open access movement? A related questions is: How do I get started with keeping my rights so that I can publicly post my materials? After we show them DOAJ, faculty are generally impressed with what is available in their respective fields. If nothing or very little, the next question generally is: How do I go about starting an electronic journal in my field?	We share author addenda and templates for letters when we meet with faculty and graduate students. We also take that opportunity to share with them all the services that the digital repository has to offer.
	How do I comply? Does the journal automatically deposit? What's the publisher's policy? How do I upload?	

25. Of the services provided, identify up to three that appear to be the most effective for helping authors and/or their support staff comply with PAPs. N=44

Service 1	Service 2	Service 3
Actually doing it	Copyright	
An expert who can answer questions and guide them through the process	A Web site that includes publisher's policies	Presentations at departmental meeting that help faculty and administrative staff understand the background for PAP and how to comply
Classes and workshops	One-on-one consultations	Deposit assistance
Consultation	Repository submission	Workshops/presentations
Consultations	Web resources	Brochures
Consultations/answering questions/ providing reassurance about the NIH PAP	We taught several classes near the time the NIH PAP went into effect, and these were well attended.	
Database of compliance information	Online FAQ and tutorials	Presentations and coaching
Deposit in PubMed Central on behalf of authors	One-on-one consultations	Workshops
E-mail	One-to-one consultation	Web site
E-mail and phone number of person to contact with any questions	Review author agreements to confirm who should submit the article to PubMed Central (or NIHMS)	Submission into NIHMS on behalf of the author

Service 1	Service 2	Service 3
Explanation of PAPs	Application of PAPs to individual author	
FAQ	Personal consultation	Author Addenda
FAQ on copyright and author's rights	Links for Open Access sites	
FAQ on the intranet	Intranet site with information about the NRC Licence to Publish form and the NRC mandate	Numerous presentations to directors, managers and authors
Having the informational Web site tied to Research and Graduate Studies, where PIs are accustomed to going for information about research/grant compliance.	Providing a person to read/interpret publication agreements for authors/PIs	
Individual consultations	Contact publishers on behalf of authors	Contact funder (NIH) on behalf of authors
Individual consultations	Organized up-to-date information on Web sites	Availability of 3rd party submission service although it isn't actually requested that often.
Links to online tutorials; Web resources	Presentations to the research community	Individual consultations
Listserv for individual questions	NIH workshops that were jointly sponsored by the Libraries and the Office of Research	The Libraries' NIH Guide
Local Web site	Online addendum information	Providing information, directing authors to resources
One-on-one consultation to either education or resolve problems	Not a service, but the fact that the libraries are working together with the Sponsored Projects Administration office gives the libraries more exposure and thus ensures that authors will talk to librarians rather than trying to go it alone.	
One-on-one consultations		
One-on-one consultations tailored to a specific request		
One-on-one consulting	Presentations	
One-on-one interactions		
One-on-one	Publishing SMART class	Web site
One-on-one consultations		

Service 1	Service 2	Service 3
One-to-one consultation right now. However, if we had provided our group training sessions just a couple of months later than we had, the group training sessions would have worked better. At the time, the faculty were not ready to track on the changes to the NIH and other public access policies. They are now. We are working to have another group session on public access policies.		
Personal consultations	Customized presentations	Web site and related materials
Personal responses to telephone or e-mail inquiries		
Presentations. When we have presented to groups or individuals on the NIH Public Access Policy, we have been asked pointed questions and have had the sense that the information we are providing is practical and useful.	Web site: It is nice to have more detailed information available to which we can point people. We received a few e-mailed questions about the NIH Public Access Policy around the time it was enacted, but have not received any feedback since then.	
Reference Manager and EndNote classes	Publishers' policies about complying with the NIH Public Access mandate. These are constantly changing and need to be checked at the time of manuscript submission.	Quick ways to capture the PMC ID [PubMed Central ID] for inclusion in NIH progress reports and grant proposals. Articles are made public in PubMed Central on wildly varying schedules — some instantly, some 3 months after publication, some 12 months after publication, some 24+ months after publication. This means that PI's published articles need to be checked at the time the progress report or grant application is filed — very tedious.
Referring faculty to the University Libraries' NIH Web site	Directly answering e-mails and offering mediated help with NIH submission	
Referrals to appropriate source or agency	Consultations (explaining policies, IR)	Workshops on scholarly communications for staff and authors
Researching publisher deposit policies	Mediated deposit a NIH PMC	
Same as in previous question		

Service 1	Service 2	Service 3
Specific guidelines for a given mandate, such as the NIH Public Access Policy mandate	Providing service and support for institutional mandates, such as the Office of Research's mandate that research funded by that office be deposited in the digital repository ScholarWorks @ UMass Amherst.	Providing education and training workshops for faculty and librarians
The institutional Web site for PAP	One-on-one consultations for submissions	Departmental presentations
Web form for authors to list journals under consideration for placing article and library investigates publisher policy and advises author		
Web site	Training	Responding to questions from individuals
Web site on how the policy affects researchers		
Web site	Presentation	
Web site about the NIH Public Access Policy	Presentations and classes about the policy and how to comply with it	One-on-one consultation with authors and/or their staff about how to comply with the policy
Workshops	Web site	Individualized consultations

LIBRARY STAFF EDUCATION

26. What resources do library staff use to stay current on PAP developments? Check all that apply.
N=51

Web sites of national/international organizations	46	90%
Discussion lists	45	88%
Attending conferences	39	76%
Blogs	32	63%
In-house presentations, workshops, discussions, etc.	28	55%
Academic newsletters	24	47%
RSS feeds	22	43%

| Legislative newsletters | 10 | 20% |
| Other resource(s) | 12 | 24% |

Please describe other resource(s).

Committees of national organizations

Communication with other librarians who handle PAP matters. NIH staff members

E-mail lists: SPARC IR

I am a copyright attorney.

Libraries have their own copyright attorney.

Networking with other Scholarly Communication librarians

Newsletters of professional library organizations

NIH newsletter. Library organizations particularly AAHSL

Sherpa/Romeo list of compliance/non-compliance by publishers to PAP

SPARC announcements. Conference update sessions (MLA)

Various e-updates. SPARC and CARL documents

Webcasts from other institutions

27. Are there resources that are not currently available that library staff would find useful to help them stay current on PAP developments? (For example, professional development opportunities, training materials, shared online resources, publications, etc.) N=41

| **Yes** | 14 | 34% |
| **No** | 27 | 66% |

If yes, please describe the type of resource(s) that library staff would find useful to help them stay current on PAP developments.

A restricted e-mail listserv devoted solely for librarians and administrators who are charged with providing NIH Public Access Policy education/support to authors at their institution, with at least one member from NIH to answer questions related to the policy.

All of the above.

It would be nice it there was a newsletter or site that concentrated specifically on these policies. Once in a while someone compiles an overview of the status of PAPs in a form that is more easily digestible than SHERPA/Juliet (i.e., Peter Suber's end-of-year summary of 2008 open-access developments), but something that came out, say,

quarterly would be very helpful.

Library staff should be copied on e-mails sent directly to PIs announcing changes in policies. We now pick them up haphazardly from faculty who know we care.

More easy-to-follow handouts (bulleted lists) and training materials. Much of the current material is too dense for quick pickup by busy liaison librarians. They find things like our 'Got Rights' short and snappy workshop to be very helpful. We need to develop one like that for PAP. Regional professional development opportunities, especially given the current budget issues. Online training opportunities, such as webinars/webcasts, that are under an hour in length. Last fall's Open Access Day video was too long despite excellent content. While wanting short, quick materials, they also want to know that there are central sites to go to where they can find additional information and resources.

Online resources.

Professional development (travel has been largely eliminated due to budget restrictions).

Regular webinars to provide updates on ongoing changes to the NIH resources for help in complying with the mandate. These change frequently and it's hard to keep up with them.

Training materials. Case studies (examples of the various issues and how they were resolved). Printer-ready how-tos to present to authors at consultations.

Travel funds are currently limited; it would be ideal to send subject librarians to specialized programs.

Workshops, shared resources (training, etc.), blog (I'm not aware of any blogs devoted to this topic).

CHALLENGES

28. Please describe up to three challenges library staff have encountered in helping authors comply with PAPs. If possible, describe how the challenge was addressed. N=35

Challenge 1	Challenge 2	Challenge 3
Although CIHR funds author fees, the fees are considerable if authors want to publish in hybrid journals.	Establishing links with individual authors is a challenge, currently we need to go through the local CIHR liaison person to find out who's got funding.	To work more closely with the Office of Research Services.
Anger — when publisher will not permit public access and manuscript must be withdrawn.	Author not knowing that funds are needed for publication charge. PAP not in place when research funding started.	In more than one presentation, the librarian had to remind the somewhat hostile audience not to 'shoot the messenger.' There was some resistance to the responsibility of the submission falling to the P.I.

Challenge 1	Challenge 2	Challenge 3
Authors primarily want to have immediate access to the NIH submission link. They are directed to the link.	Authors want to know what a particular publisher requires for NIH research. The libraries may call or e-mail the publisher, direct the author to the Romeo/Sherpa site, etc.	
Authors want someone to handle mediated submissions and our institution is not equipped to do that.		
Confusion about author rights and copyright ownership. The Library already offers extensive copyright support services and resources, and those are valuable in educating authors on a case-by-case basis.	Confusion about the difference between the final author manuscript and the publisher PDF. In some ways this is a bigger challenge: Many publishers have policies that make it hard to comply, or permit authors to comply only under less-than-ideal circumstances. There is no solution for this except to explain, ad nauseum, that in most cases you cannot deposit the final publisher PDFin PubMed Central because the publisher does not allow it.	Confusion about which works require deposit. We created a flow chart that outlines this determination process very simply and clearly. It helps.
Copyright — use CARL documents.	Individual journal policies — SHERPA site.	General reluctance of authors.
Explaining that authors do not need to pay publisher. Authors can deposit research for free if they do it themselves.		
Faculty are uninterested in the subject, too busy to care about it, and have no incentive to change.		
Faculty member did not understand why some submissions had an unresolved status. He tried to submit them retroactively and that created problems.	A research contract signed prior to the enactment of the NIH PAP runs through 2014. Question: Do articles resulting from this funding have to be submitted? Confirmation from NIH that these articles did not have to be submitted.	

Challenge 1	Challenge 2	Challenge 3
Fear of complexity of copyright issues. Being addressed by ongoing educational program.	Maintaining awareness that author or PI must review final PMC version of articles and approve them. Working on getting notice to appropriate offices to remind authors of this obligation.	
Getting small (or large) publishers to declare what their policy is.	Getting SPARC to rethink their interpretation of the copyright side of the mandate. They have been too cautious and too reliant on the Scientific Commons brain trust.	
It's hard to describe submitting a paper to repository like PubMed Central unless you have gone through the process yourself.	Convincing an author to use an author addendum form because of fear that an article won't be accepted by a publisher.	Authors are challenged to come up with fees to publish in open access journals.
Knowledge — increase information on Web site.	Consultation — Make it clear which services the library can offer and which services the library cannot realistically provide.	
Lack of clarity in funder instructions; contact funder.	Lack of clarity in publisher agreement; contact publisher.	Sense that publishers are taking care of all of it; contact authors who receive compliance messages from NIH.

Challenge 1	Challenge 2	Challenge 3
Library staff themselves do not feel adequately knowledgeable and trained with PAPs to feel comfortable helping authors. We have created new brochures, targeted to the faculty audience, that they can use with faculty. We are creating more workshops scheduled for this spring, organized by broad discipline categories (humanities, social sciences, health sciences, general sciences), that both faculty and librarians will be invited to attend. We are including the liaison librarians in the creation of the workshops.	Many authors are concerned about their compliance with PAPs, how it might affect their ability to later publish their material in scholarly journals, and what it might do to their tenure and promotion possibilities. Librarians generally are not able to help with these types of concerns so feel at a loss as to what to do or what to recommend. We have created a Faculty Senate Ad Hoc Committee that is charged with investigating the impact and implications of digital scholarship. This committee includes a member of our faculty union that deals with issues of T&P. That committee will be giving a presentation to the full Faculty Senate in April, with much discussion about these issues. The Ad Hoc Committee will then be giving its recommendation for future action to the full Faculty Senate at its May meeting. http://www.umass.edu/senate/adhoc/digital_scholarship.html	Librarians hear from faculty that they are concerned about the impact of their scholarly work. They are familiar with how to measure their impact through traditional scholarly communication channels. How are we going to do this with digital scholarship. The Scholarly Communication Librarian has compiled several articles that address this topic but there is lots of room for improvement, creation of new types of materials to address this need in a clear, concise manner. This would be an excellent area in which to focus research and provide materials in the upcoming year.
Maintaining the currency and accuracy of the in-house-developed database of compliance information. Given that the information is a moving target, updating is continuous.		
Many NIH-funded authors did not fully understand the NIH Policy when it was first implemented and requested a synopsis of the NIH Policy. To address this issue, a flowchart outlining the compliance process was developed. http://becker.wustl.edu/pdf/NIHComplianceFlowchart.pdf	Authors were reporting publisher delays in submission of NIH-funded works. Until submission is executed, NIH-funded authors have no means of demonstrating compliance with the NIH Policy unless the journal cooperates with NIH/PMC or if the author has paid a fee to the publisher. To address this concern, Becker Library worked with the Office of the Executive Vice Chancellor and General Counsel to draft language to use when contacting a publisher to clarify the submission status.	Some NIH-funded authors direct their office staff to be third party submitters on their behalf. To assist third party submitters, Becker Library developed a checklist for third party submitters and provided personal training on the submission process.

Challenge 1	Challenge 2	Challenge 3
Most faculty pay little attention to intellectual property issues and other details related to publishing. They don't read the copyright transfer agreements they sign, they don't keep track of when their article was accepted for publication, they often have a hard time putting their hands on the final author's manuscript, and they don't seem to know anyone at their publisher that they can ask questions of. They expect their administrative staff to handle the details of complying with PAP.	Administrative staff who are often working on a deadline and only know that they need to provide PMC ID numbers for articles cited in bibliographies attached to grant applications and progress reports. They are not familiar with PAP and don't understand that an article must first be deposited in PubMed Central before a PMC ID number is assigned.	The inability to find out the NIH Manuscript Submission ID numbers for publisher submitted articles and the inability to convert NIHMS ID numbers to PMC ID numbers in an automated manner.
No challenges. Faculty seemed to understand the policy and steps required. At the presentation, faculty agreed that they were familiar with the policy.		
No response from publishers — suggest other journals; suggest author contact directly.	Authors unaware of the policy —- ongoing efforts to educate using many venues.	Authors unaware of their rights — ongoing efforts to educate using many venues.
Our university has taken the stance that following public access policies is the responsibility of the individual authors, so our role is unclear or diminished. The libraries did create an awareness campaign when the NIH policy first went into effect anyway, but not much has happened since.		
Publisher won't accept proposed changes. We advocate use of the SHERPA/RoMEO site, and encourage faculty to negotiate anything that might move the intellectual property rights closer to authors' benefit.	Cost of open access publishing. We have created an Open Publishing Support Fund to help pay for publisher fees.	Faculty aren't accustomed to negotiating publishing contracts. We take opportunities in group discussions an in one-to-one conversations to let them know that negotiating is possible and desirable.

Challenge 1	Challenge 2	Challenge 3
Resistance to the cumbersome bibliographic citation formats required by NIH in grant proposals and progress reports. Staff have worked with PIs and administrative staff to customize Reference Manager and EndNote to streamline (as far as possible) the download process.	Over-eager PIs want to deposit all their articles retrospectively in PubMed Central, regardless of whether or not they have the copyright permission to do so. Staff have counseled the PIs on the copyright issue, and checked the PI's lit of publications to determine if a) the articles have already been deposited to PubMed Centra, or b) the publisher has a blanket policy of allowing such retrospective deposits.	PIs misunderstand some publishers' accelerated PubMed Central deposit programs in which an article will be deposited earlier than the 12-month mandate in exchange for extra publication charges of, in some cases, several thousand dollars. We counsel PIs that the mandate calls for release in PubMed Central 12 months after publication, and there is no requirement to pay extra to release an article earlier than that.
The biggest challenge is getting the word out to PIs that they must comply and help is available. We are taking several approaches to overcome this.		
The challenge is trying to understand the complexities of the policies and to assist others in understanding them. Policies are new so there can be a steep learning curve.		
The greatest challenge is getting the attention of busy researchers. Working with the Office of Research was helpful, as researchers seem more likely to pay attention to their e-mails and they promoted our Web site on the NIH PAP to researchers. And in general, using familiar contact people to make the initial approach to groups or departments was most effective.	Once we got the attention of researchers, the next challenge was finding time available in their schedules during which we could present the information to them. This was solved mostly by library staff remaining flexible as to when and how they met with researchers.	Authors often don't pay attention to the publishing agreements they sign, so many don't know what rights they retain to their papers. This year, library staff have been making presentations to academic departments to encourage faculty to read their publishing agreements and to consider alternative publishing mechanisms such as open-access journals or depositing their work in a research repository. Funder policies such as the NIH PAP often come up during these discussions.
The library received many requests from authors to negotiate with publishers on their behalf. The library asked all the institutes to provide a list of their priority publishers and one master priority list was prepared from the individual lists.		

Challenge 1	Challenge 2	Challenge 3
There was a certain reluctance on the part of many NIH grantees to comply with the NIH PAP. They didn't see what they would get out of it and saw it as a lot of work for nothing. Luckily, after we actually showed them the process, they seemed to understand that it was just another step in publishing, and not all that difficult.	There was a mistaken belief among some people that, because the Library was offering assistance in complying with the NIH PAP, that it was all our idea — our fault! Education about the NIH PAP, including possible ramifications from NIH if they didn't comply, solved this problem.	
There's a presumption here that authors are the ones doing this compliance work. They're not — it's their assistants, grad students, research supporters, etc. Those positions turn over!	Publishers who don't yet know about the policy.	
Trying to confirm whether or not a journal submits the article directly to PubMed Central. When it's ambiguous I call AND e-mail the journal to get clarification.	Trying to get the PMC ID after it's been submitted to NIHMS. I've confirmed with NIH and PubMed Central that the program officer should be accepting the NIHMS ID and let the PI know the responses I get back.	Getting the word out that we'll submit an article on the author's behalf. We try to get the information out whenever an opportunity presents itself.
Uncertainty about a journal's automatic upload policy — e-mailed the journal editor and publisher but there was no reply	Determining the license agreement the author signed. Author tried going into the manuscript site for the journal to see if there was a copy of the license, but wasn't able to find it.	
Variety of publishers' copyright policies.	Restrictions of publishers' copyright policies.	Existing copyright policies take precedence over open access considerations.
We actually don't have a lot of people asking us about the NIH mandate; so a challenge is reaching out to faculty to make them aware of the mandate, more than helping them comply.		
We don't have the time to personally assist authors. We just provide information via the Web site for information on this subject.		

Challenge 1	Challenge 2	Challenge 3
What are my journal's policies relative to the NIH mandate? Searched publisher's Web site, SHERPA/ROMEO, the NIH PAP FAQ, and PMC's resources.	What are the policies for finding and citing the PMC ID when a publisher deposits for the author? Searched NIH PAP FAQ.	

ADDITIONAL COMMENTS

29. Please enter any additional information about the library's experiences with helping authors comply with PAPs that may assist the authors in accurately analyzing the results of this survey. N=13

Selected Comments from Respondents

Having their own copyright attorney in the Dean's office has helped address all the PAP issues.

Health sciences librarians have excellent access to policy enforcers at the National Library of Medicine and the National Institutes of Health. We can use these contacts to clarify compliance points, and to report problems the investigator community is having complying with the NIH Public Access mandate.

I serve on a university-level group that establishes policies and publicity to faculty. This is a type of support, but also not directly to authors.

If a library wishes to help its faculty authors comply with the NIH Public Access Policy, it is easy to act in their behalf if you set up your institution as a publisher with NIHMS. This permits easy bulk deposits, and it is not hard to sign up with NIHMS as a publisher.

It is very early in the process, so we have not had many opportunities to assess the effectiveness of current policies and services.

So far, York Libraries' has been general approach of raising awareness and promotion more than anything. To ID the authors we still have some difficulties. At the moment no coordinator has been specifically assigned to these activities. The funding of author fees will be diversified to include more publishers as we become aware of those that would be a good candidate for support or receive specific requests, for example we're looking at PLoS and Bioline. However, this will mean spreading the current resources more thinly. As we start to promote this service more widely and demand grows the expectation is that it will be necessary to put a policy in place.

The Libraries took the lead in speaking to general counsel and the Office Of Sponsored Programs and than took a step back from the process. After talking to the faculty, the Libraries assumed a coordinating and advisory role on an ad-hoc basis with individual authors. We will continue to maintain a Libguide on the NIH process and will continue to monitor any changes to the NIH submission process.

The library and the Office of the Provost co-chair a university-wide Scholarly Communication Committee that discusses issues related to PAP compliance. The library and Office of Research jointly fund the Open Publishing Support Fund. The Faculty Senate Library Committee and Research Council are interested in the issues. Because we

are about to launch an institutional repository, I've been invited to discuss a variety of scholarly publishing issues related to the IR.

The requests for assistance are not at all overwhelming; most authors seem to be dealing with this just fine. It's great to offer the service to help and faculty are so grateful for a name, phone number, and e-mail at Rice that they can contact.

The services we offered when the policy was announced seem effective. The library continues to be viewed as a support mechanism for PAP compliance and contacted for assistance with progress reports.

The UBC Library's role in scholarly communications and helping authors comply with PAPs has been investigated through two exploratory projects which are now complete: Scholarly Communications; Institutional Repository. Exactly how scholarly communications and related matters will be operationalized is to be determined.

There are faculty who are opposed to open access/public access and getting them to change their attitudes (or at least consider a more flexible attitude) would be helpful. Publishers' policies are also often difficult to interpret.

This past year, the PubMed Central manuscript submission has been an evolving process. Aspects of the submission changed between every presentation to an audience. The fluidity of the process led to some confusion and frustration for the authors.

RESPONDING INSTITUTIONS

University of Alberta

University of Arizona

Arizona State University

Boston University

Boston College

Brigham Young University

University of British Columbia

University of California, Davis

University of California, Irvine

University of California, Los Angeles

University of California, San Diego

University of California, Santa Barbara

Canada Institute for Scientific and Technical Information

Case Western Reserve University

University of Colorado at Boulder

Colorado State University

Columbia University

Duke University

Emory University

University of Florida

University of Georgia

University of Hawaii at Manoa

University of Illinois at Chicago

University of Illinois at Urbana-Champaign

Indiana University Bloomington

University of Iowa

Iowa State University

Johns Hopkins University

University of Kansas

Kent State University

University of Kentucky

Library of Congress

Louisiana State University

University of Louisville

McGill University

McMaster University

University of Massachusetts, Amherst

Massachusetts Institute of Technology

University of Miami

University of Michigan

Michigan State University

University of Minnesota

University of Missouri

University of Nebraska–Lincoln

North Carolina State University

Northwestern University

Ohio University

University of Oklahoma

Oklahoma State University

University of Oregon

Pennsylvania State University

Purdue University

Rice University

University of Rochester

University of South Carolina

Southern Illinois University Carbondale

University of Tennessee

University of Texas at Austin

Texas A&M University

University of Utah

Vanderbilt University

University of Virginia

Washington State University

Washington University in St. Louis

University of Western Ontario

Yale University

York University