

## Committee Charges/Proposals for SC Initiatives

## Scholarly Communication In Crisis: A Call For Action

### Introduction

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

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

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

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

### Charge for the Committee

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

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

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

### **Desired Committee Outcomes**

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

### **Current Membership**

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

## University of Guelph Library

# Transforming Scholarly Communication: A Program Proposal (DRAFT)

*Connecting the Dots.....*

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**Proposal to Chief Librarian's Council**

**April 16, 2007**

# Transforming Scholarly Communication: A Program Proposal

## *Connecting the Dots...*

### **Introduction**

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

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

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

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

The core components of a scholarly communications program are:

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

## Current Context

### Library Preparedness and Faculty Awareness

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

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

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

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

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

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

## Connecting the Dots....

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

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

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

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

## Program Coordination

### Scholarly Communications Steering Team (SCST)

#### Mandate

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

#### Objectives

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

#### Membership

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

## **Program Elements**

### **Education and Awareness Campaign**

#### **Goal**

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

#### **Objectives**

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

#### **Resources**

SCST Task Force(s)

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

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

### **Author Rights, Copyright and Publishing Models**

#### **Goal**

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

#### **Objectives**

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

#### **Resources**

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



### **Institutional Repository**

#### **Goal**

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

#### **Objectives**

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

#### **Resources**

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

### **Open Access Journal Publication**

#### **Mandate**

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

#### **Objectives**

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

#### **Resource**

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

### **Digital Collections Development**

#### **Goal(s)**

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

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

**Objectives**

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

**Resources**

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

**Consortia Licensing Initiatives**

**Goal**

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

**Objectives**

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

**Resources**

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

**Best Practice Sites and Scholarly Communications Resources**

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

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

Libraries and Scholarly Communication – University of California Libraries

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

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

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

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

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**Digital Collections Internal Grant Program -- Year 2**  
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(kw/lw/cs 12/06)

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

**Context**

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

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

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

**Events & Exhibits**

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

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

**Sponsors**

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

**Initial Co-chairs**

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

**Purpose / Focus**

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

**Program Priorities 06-07**

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

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

### Timeline

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

### Collaborative Members

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

### Time Commitment

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

### Stakeholders

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

### Budget

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

### Related Issues / Projects

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

### Collaborative Review

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

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## Scholarly Communications Task Force

### Charge

**Introduction:**

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

**Charge:**

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

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