

Jim Stemper and Karen Williams

Scholarly communication

Turning crisis into opportunity

Many faculty see the current system of scholarly communication as an effective, known, and reliable system that is not broken and therefore does not need to be fixed.¹

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 became outraged and engaged. But many also told us the system works just fine for them; publishers told regulators that the real problem is underfunding 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.

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.

Where do we go from here? 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 of the control of any one campus. The recent ARL/ACRL Institute on Scholarly Communication² 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 in a lifetime more than we could alone. In that spirit, the goal of this resource guide is to give nascent scholarly communication efforts a shared knowledge base, one that provides colleagues with tools to build effective programs on their campuses.

Contextual overviews

Not So Quiet on a Western Front. Nature Forum on Open Access (Daniel Greenstein, 28 May 2004). Writing in an ac-

Jim Stemper is electronic resources librarian, e-mail: stemp003@tc.umn.edu, and Karen Williams is associate university librarian for academic programs, e-mail: kaw@umn.edu, at the University of Minnesota

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cessible yet provocative way for non-librarians, Greenstein succinctly states the basic economic problem confronting libraries. He uses the well-known case of the University of California (UC) system and its public negotiation with Elsevier in 2003 to show how faculty, once sufficiently engaged, can lead the call for change (and how such a call is more effective when it scales to consortial levels). Greenstein calls on librarians to not just enlist faculty and administrators as UC did, but also to engage societies as partners to experiment with different publishing options. Access: <http://www.nature.com/nature/focus/accessdebate/23.html>.

The Crisis in Scholarly Publishing in the Humanities. ARL Bimonthly Report: 228 (John M. Unsworth, June 2003). Unsworth speaks to the uncertain fate of the humanities monograph and poses alternatives to the stand-alone, single-author work. Access: <http://www.arl.org/newsltr/228/crisis.html>.

Stakeholder voices/perspectives

Effective advocacy begins with understanding the knowledge base, attitudes, and positions of the other players in the scholarly communication arena. We may not always agree with what we hear, but our programmatic efforts should be shaped by what we learn.

University faculty/administrators

New Journal Publishing Models: An International Survey of Senior Researchers. A CIBER report for the Publishers Association and the International Association of STM Publishers (Ian Rowlands and Dave Nicholas, September 2005). A survey of more than 5,500 senior journal authors that claims to be the largest, most representative and statistically robust study ever undertaken into the views of authors on the workings of the scholarly publishing system. Among the sobering findings: a lack of scholar interest in retaining copyrights; a lack of awareness about institutional repositories and open access; and a disconnect between the sense of a journal's cost and authors' willingness to publish in costly journals. Access: http://www.ucl.ac.uk/ciber/ciber_2005_survey_nal.pdf.

Scholarly Communication: Academic Values and Sustainable Models. Center for Studies in Higher Education, University of California, Berkeley (C. Judson King, Diane Harley, Sarah Earl-Novell, Jennifer Arter, Shannon Lawrence, and Irene Perciali, July 2006). This ambitious series of case studies details the results of interviews with stakeholders in five disciplines (chemical engineering, anthropology, law and economics, English-language literature, and biostatistics) about the values influencing their publishing activities. While confirming the value of peer review, it concludes that we will have better short-term success in changing faculty publishing behavior if we focus on needed changes to in-progress communication (which is less bound by tradition) rather than annual archival publication. Rather than rushing to promote open access, the report advises facilitating change where scholars see the need for it. Access: <http://cshe.berkeley.edu/publications/publications.php?id=23>.

Society publishers

Washington D.C. Principles for Free Access to Science: A Statement from Not-for-Profit Publishers. The compromise offered by about 50 society publishers—journal content can be publicly available after a suitable embargo period (usually 6 to 12 months). The premise is that societies reliant on subscription income to finance other activities will not lose that revenue due to cancellations, and the public will still get access; in other words, *delayed open access*. The open question is whether, or at what point, an embargo really affects library subscriptions. It does affect access for end users. Access: <http://www.dcprinciples.org/>.

“Access to the Scientific Literature—A Difficult Balance,” *New England Journal of Medicine* 354(15):1552-5 (Martin Frank, April 13, 2006). The Executive Director of the American Physiological Society uses his review of John Willinsky's *The Access Principle* as an opportunity to restate the opposition of many society publishers to open access.

He claims that the author fees established by venues like Public Library of Science are too high for most faculty and don't cover the true costs of publication, asserts that making the NIH deposit proposal mandatory would lead to subscription cancellations that would decimate societies, and predicts that diverting grant funds to publications would underfund research. *Access:* <http://content.nejm.org/cgi/content/full/354/15/1552>

The Facts about Open Access. Research Report published by the **Association of Learned and Professional Society Publishers** (October 2005). A study of the financial and non-financial effects of alternative business models for scholarly journals. While the jury is still out, the findings question whether the current iterations of open access publishing represent a financially viable model. *Access:* <http://www.alpsp.org/publications/pub11.htm>.

Commercial publishers

- **Karen Hunter. Open Access: Yes, No, Maybe.** *Nature Forum on Open Access* (19 March 2004). From Elsevier's senior vice president, strategy, comes a concise, straightforward explication of the STM publishing community's perspective on open access, one that serves as a bookend of sorts to Daniel Greenstein's article from the same *Nature* issue. *Access:* <http://www.nature.com/nature/focus/accessdebate/3.html>.

- **Scientific publishing in transition: An overview of current developments—White Paper, 14/09/06, commissioned by the International Association of Scientific, Technical & Medical Publishers and the Association of Learned and Professional Society Publishers, Mark Ware Consulting, Ltd.** This white paper includes a great deal of background information and definitions of terms commonly used when discussing scholarly communication issues. Significantly, almost half of the report is concerned with open access—and yet it largely neglects most of the recent studies noting high ci-

tation rates for open access articles (like Antelman's below). Of particular interest are the findings that [o]nly 10% of authors said that access to the literature was poor or very poor—and informed by a survey of librarians that publishers fear author archiving in institutional repositories will lead to journal cancellations by libraries. *Access:* <http://www.alpsp.org/news/STM-ALPSPwhitepaper.pdf>.

Librarian education and advocacy efforts

Many institutions have high-quality online resources devoted to scholarly communication. The authors believe that the University of California Libraries provide an exceptionally good case study of a focused, collaborative effort. The range of resources (from toolkits to original research to faculty white papers), the high level of institutional engagement reflected, the combination of education/outreach/advocacy perspectives—all add up to a set of best practices in the making.

- **Create Change.** Scholars are the intended audience of this Web site (created by ARL and SPARC with support from ACRL), which aims to help them understand the changing landscape and how it affects their research. Interviews with faculty researchers are a powerful component of the site. *Access:* <http://www.createchange.org/>.

- **ACRL Scholarly Communication Toolkit.** The toolkit is a basic introduction that includes separate sections for administrators, faculty, and librarians. *Access:* <http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholarlycommunicationtoolkit/toolkit.htm>.

- **University of California Office of Scholarly Communication.** This is a strong example of a site that prominently features faculty talking to faculty. *Access:* <http://osc.universityofcalifornia.edu/>.



- **University of California Scholarly Communication Issues and Outreach Toolkit.** This is a great example of a train

the trainers' site for librarians. It offers three sets of talking points for librarian interactions with faculty: Managing Copyright, Economics of Scholarly Communication, and the Role of Scholarly Societies. *Access:* <http://libraries.universityofcalifornia.edu/scholarly/>.

University of California-Berkeley Faculty Conference on Scholarly Publishing (March 31, 2005). This conference is a good model for engaging faculty and administrators. The focus group summaries are a rich treasure trove of ideas to consider when grappling with issues like Designing Incentives and Support, Journal Publishing Options, Managing Copyright and Intellectual Property, and Working with Societies. *Access:* <http://www.lib.berkeley.edu/scholarlypublishing/>.

“Creating and Implementing a Scholarly Communication Program: The University of California Libraries as a Case Study.” The UCLA Library hosted this workshop for academic librarians after the inaugural ARL/ACRL Institute. It shows how library colleagues put together a scholarly communication program and shares valuable lessons learned from UCLA's first year. *Access:* <http://www.library.ucla.edu/scholarlycommunication/>.

Potential actions

Pass campus resolutions

- **Peter Suber. University Actions for Open Access or Against High Journal Prices.** Suber's is the most up-to-date listing of resolutions from faculty, administrators, and students' political statements to which publishers, legislators, and others do pay attention. *Access:* <http://www.earlham.edu/~peters/fos/lists.htm#actions>.

Keep current

Carol Ann Hughes. “The Case for Scholar's Management of Author Rights” *Portal: Libraries and the Academy*, Vol. 6, No. 2 (2006). Hughes presents the philosophical case for author retention of copyright. *Access:* http://www.ucop.edu/lauc/opinions/author_rights.html.

Michael Seadle. “Copyright in the Networked World: Author's Rights” *Library Hi Tech*, 23(1): 130-136, 2005. Seadle advocates specific strategies for author retention of copyright. Specifically, he recommends the SPARC Author Addendum as covering more situations than the Creative Commons license. *Access:* http://www.emeraldinsight.com/info/copyright/copyright_column/authorrights.pdf.

SHERPA RoMEO Project. This service provides a summary of permissions that are normally given as part of each publisher's copyright transfer agreement. It can be searched by journal title or publisher name. *Access:* <http://www.sherpa.ac.uk/romeo.php>.



SPARC Author Resources. This site introduces the SPARC Author Addendum, a legal form that enables authors of journal articles to modify publishers' copyright transfer agreements and keep key rights to their articles. *Access:* <http://www.arl.org/sparc/author/>.

Creative Commons. This nonprofit organization provides a set of licenses offering authors and educators a flexible range of protections and freedoms for a variety of publication formats. Creators can set up customized licenses that both retain their copyright and designate their works as free for certain uses, on certain conditions. *Access:* <http://creativecommons.org/>.

Archive your publications

Librarians need to model the behaviors we seek to change in others. If your institution maintains a repository, use it; if it does not, consider one of the disciplinary repositories that include library and information science.

E-LIS. E-LIS is a community-owned open access archive for librarianship, information science and technology, and related areas. *Access:* <http://eprints.rclis.org/>.

Support new publishing models

John Willinsky. *The Access Principle: The Case for Open Access to Research and Scholarship*. MIT Press, 2005. Willinsky offers a popular and well-written book with a positive view of the possibilities of open access. Especially noteworthy are Chapter 6, describing a potential publishing Cooperative, and Chapter 5 on Economics (which outlines the savings to be realized using the new Web-based Open Journal Software publishing platform). This online book is a great example of a Creative Commons license in action. *Access:* <http://mitpress.mit.edu/catalog/item/ebook.asp?tttype=2&tid=10611>.

Kristin Antelman. "Do Open-Access Articles Have a Greater Research Impact?" *College & Research Libraries* 65(5)(September 2004): 372–382. This study looks at articles in four disciplines at varying stages of adoption of open access (philosophy, political science, electrical and electronic engineering, and mathematics) to see whether they have a greater impact as measured by citations in ISI's Web of Science when their authors make them freely available. The consistent finding is that freely available articles do have a greater research impact. [Note: this article has also been deposited in the repository mentioned above.] *Access:* <http://www.ala.org/ala/acrl/acrlpubs/crljournal/crl2004/crlseptember/antelman.pdf>.

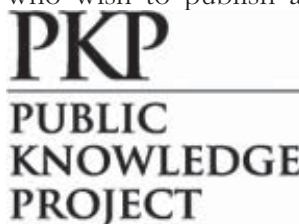
Directory of Open Access Journals (DOAJ). DOAJ is a service that provides access to quality controlled open access Journals. It aims to increase the visibility and ease of use of open access scholarly journals in all disciplines. *Access:* <http://www.doaj.org/>.

Clifford A. Lynch and Joan K. Lipincott, "Institutional Repository Deployment in the United States as of Early 2005" *D-Lib Magazine*, September 2005. *Access:* <http://www.dlib.org/dlib/september05/lynch/09lynch.html>.

SPARC Partners. With the publisher partner programs, SPARC supports partners who introduce price and service competition through journal publishing or other means of

scholarly communication. *Access:* <http://www.arl.org/sparc/partner/index.html>.

SPARC Publishing Resources. This site offers a collection of resources for those who wish to publish and manage online journals and archives. Resources range from written guides to commercial and open source software suites. *Access:* <http://www.arl.org/sparc/resources/pubres.html>.



Current awareness

Web sites

ARL Scholarly Communication. *Access:* <http://www.arl.org/osc/>.

ACRL Scholarly Communication. *Access:* <http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholarlycommunication.htm>.

Newsletters

Peter Suber, SPARC Open Access Newsletter. *Access:* <http://www.earlham.edu/~peters/fos/newsletter/archive.htm>.

SPARC e-News. *Access:* <http://www.arl.org/sparc/pubs/enews/>.

Blog

Peter Suber, Open Access News. *Access:* <http://www.earlham.edu/~peters/fos/fosblog.html>

Discussion list

SCHOLCOMM: ACRL's e-mail discussion list for scholarly communication issues. *Access:* <http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholcommdiscussion.htm>.

Notes

1. Kate Thomes, Scholarly Communication in Flux: Entrenchment and Opportunity, *Science & Technology Libraries* 22, no. 3/4 (2006): 104.

2. ACRL/ARL Institute on Scholarly Communication, www.ala.org/ala/acrl/acrlissues/scholarlycomm/scinstitute.htm (accessed Nov. 6, 2006). ¶¶