Policy on Open Access Materials

Howard-Tilton Memorial Library, Tulane University

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DEFINITION OF OPEN ACCESS

The term "Open Access" (OA) refers to publishing models that seek to maximize access to scholarly literature by removing cost as a barrier and by using the power of the internet and digital technologies to store and deliver information. OA literature is scholarly, online, free of charge for users, and generally carries less restrictive limits on use than traditional publishing models. The "open" part of OA is determined primarily through terms of copyright and licensing. For journal literature, OA can be achieved via dedicated open access journals, open access options in commercial journals, or through deposit in digital repositories, which are open to the public. The definitions, importance, and goals of OA are spelled out in more detail by the OA scholar Peter Suber and in the Budapest Open Access Initiative, the Bethesda Statement on Open Access Publishing, and the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities.[1]

BENEFITS OF OPEN ACCESS PUBLISHING

While the emergence and growth of OA publishing are indicative of its many benefits, there is also a growing body of research on the effects of OA on scholarship.[2] Authors benefit by retaining rights to their intellectual property, and many see an increase in readership and citation. Students and scholars gain free online access to research and perpetual access to archived copies. Educators find fewer restrictions on their right to copy and distribute materials for teaching purposes. Librarians see greater choice and control in serials collection development in an environment defined by price inflation. Citizens benefit from barrier-free access to taxpayer-funded research.

SUPPORT FOR OPEN ACCESS PUBLISHING

Advocates of OA include the American Library Association (ALA) and the Association of College and Research Libraries (ACRL), which are concerned with the effects of serials inflation on libraries and the resulting decline in the availability of information. The Association of Research Libraries (ARL) has developed the Scholarly Publishing and Academic Resources Coalition (SPARC) to correct imbalances in the scholarly publishing system. Tulane is a SPARC member, as are many of its peer institutions. The Alliance for Taxpayer Access, which includes as members ARL, ACRL, and the Association of Southeastern Research Libraries (ASERL), seeks to make the results of taxpayer-funded research available online, at no charge, to the American public.[3]

Several organizations that provide funds for medical research, such as the Christopher Reeve Foundation, Arthritis Foundation, Howard Hughes Medical Institute, Wellcome Trust, the Canadian Institutes of Health Research, and the European Research Council mandate that grant recipients provide open access to the results of their research. An OA

mandate for recipients of grants from the U.S. National Institutes of Health (NIH) was signed into law in December 2007.[4]

Hundreds of colleges, universities, and research institutes have created institutional repositories, where the intellectual output of their organization is archived and made accessible online, at no cost. Many academic libraries are cataloging OA journals to increase their visibility and are raising awareness of OA issues among library users. Increasingly, universities are suggesting an author addendum to help researchers retain the rights to their intellectual property when submitting their research for publication.[5]

OPEN ACCESS STAKEHOLDERS

While OA should be of interest to everyone, it is of particular interest to those involved in academic research and teaching, both in the library and across campus. Beyond campus, publishers and the public have a stake in the new publishing models.

In the library, OA is relevant to
- Bibliographers, who are responsible for identifying and selecting appropriate scholarly resources.
- Cataloging and Serials librarians, who provide access points by adding and maintaining records, links, and holdings information.
- Systems librarians, who are responsible for metadata harvesting and interoperability, process automation, and database creation.
- Reference/Liaison librarians, who in their educational and advocacy roles promote OA readership and authorship to faculty, and may advise on copyright issues.
- Library Administrators, who are discovering that OA can increase collection size and provide leverage in dealing with commercial publishers. Library administrators are also in a position to set policy, invest financial and labor resources, and advocate for OA and institutional repositories across the University.

Across the University, OA is relevant to
- Students and scholars, who find that OA increases their access to information.
- Authors, who retain copyright to their work, fulfill obligations to funding agencies, see greater impact of their published articles, receive more and faster citations, and ensure perpetual access to their work through institutional repositories. Authors may also absorb the costs of the 'author pays' OA business model, and have to judge the merits of OA journals in relation to their efforts toward promotion and tenure.
- Technology services, which builds and maintains the technology infrastructure for institutional repositories.
- University administrators, who seek increased university prestige through higher citation rates and increased access to and control over the

university's intellectual output. Administrators would also invest financial and labor resources in institutional repository development.

- Promotion and tenure committees, who must assess the value of non-traditional publications in the P&T process, which requires focusing on author impact rather than journal impact.

Although not directly within the scope of the Library or campus, some external groups have a major stake in OA publishing. Library interactions with those groups both individually and collectively can shape perceptions and behaviors.

- Commercial publishers, facing pressure to moderate price inflation, are already experimenting with OA models as they seek alternative revenue streams.
- Open access publishers are hoping for, and experiencing, increased market penetration, increased readership and authorship, and increased sustainability.
- The general public can expect greater access to information.

PROMOTING ACCESS, AWARENESS, AND PARTICIPATION

To date, the open access policy group has created this OA policy, made an initial presentation on OA to the library faculty members, and initiated informal discussions with faculty members on campus. In addition, the Library has activated OA titles in its list of electronic journals, added the Directory of Open Access Journals to its database list and public catalog, and has started routinely adding records for OA journals to the public catalog.

Ongoing efforts by the group will focus on promoting awareness of OA within the Library and across campus. Within the Library, the intention is that other Librarians will consider OA in the context of their collection development, instruction, reference, and liaison responsibilities and administrators will consider OA in their interactions with other University units. Specific activities for the OA group include posting this OA policy on the Library web site and creation of a scholarly publishing blog. The blog will include links to more information about OA news and issues, including the retention of intellectual property rights and compliance with the OA mandate from NIH and other funding agencies.

More challenging will be promoting participation in the OA process among university faculty and administrators, including encouraging them to publish their research in OA journals and support the creation of an institutional repository for Tulane. That repository could hold faculty research articles, digital theses and dissertations, and other materials such as local collections of digitized images and texts, instructional materials, data sets, and technical reports.

GUIDELINES/CRITERIA FOR SELECTING OPEN ACCESS MATERIALS

In addition to educating our colleagues and library users about OA, Librarians have a role in selecting OA materials for the Library collection. While selection of OA materials generally does not entail a direct financial cost to the Library, there are costs associated with processing records as there are with any electronic journal. Selection, in the context of OA material, means providing access points through cataloging, journal lists, and URLs, informing our users about the resources, and vouching for their value, quality, and reliability.

The selection criteria for OA materials are essentially the same as those for other scholarly materials in the same format. The Library seeks high quality and reliable scholarly materials that are relevant to the academic and research programs at Tulane University. Within those broad parameters, OA materials should be evaluated in light of the Library's General Selection Guidelines, Digital Collections Policies, and the collections policies for individual subjects.[6]

[1] Peter Suber, "Open Access Overview," June 19, 2007, http://www.earlham.edu/~peters/fos/overview.htm, accessed February 21, 2008; Budapest Open Access Initiative, February 14, 2002, http://www.soros.org/openaccess/index.shtml; Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, October 22, 2003, http://oa.mpg.de/openaccess-berlin/berlindeclaration.html; Bethesda Statement on Open Access Publishing, June 20, 2003, http://www.earlham.edu/~peters/fos/bethesda.htm .

[2] The Open Citation Project, "The effect of open access and downloads ('hits') on citation impact: a bibliography of studies," http://opcit.eprints.org/oacitation-biblio.html, accessed February 21, 2008.

[3] Association of Research Libraries, "SPARC," http://www.arl.org/sparc/ and SPARC, "Create Change." http://www.createchange.org/; Alliance for Taxpayer Access, http://www.taxpayeraccess.org/; American Library Association, "Scholarly Communication Toolkit," 2003, http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholarlycommunicationtoolkit/toolkit.htm.

[4] EPrints, "Registry of Open Access Repository Material Archiving Policies (ROARMAP)," http://www.eprints.org/openaccess/policysignup/, accessed February 21, 2008; National Institutes of Health, "Public Access Homepage," http://publicaccess.nih.gov/index.htm, January 11, 2008.

[5] The Directory of Open Access Repositories, "OpenDOAR," http://www.opendoar.org/; California Digital Library, "Open Access Resources at the UC Libraries: Policies and Procedures for Shared Cataloging, Linking, and Management," June 9, 2006, http://www.cdlib.org/inside/collect/openaccess.html; University of Connecticut Libraries, "Guidelines for Selecting Open Access Materials for Inclusion in the Libraries' Catalog," March 2007, http://www.lib.uconn.edu/using/services/liaison/OAGuidelines.pdf; SPARC, "Author Rights: Using the SPARC Author Addendum to secure your rights as the author of a journal article," http://www.arl.org/sparc/author/addendum.html; American Library Association, "Faculty - Author Control of Copyright," http://www.ala.org/ala/acrl/acrlissues/scholarlycomm/scholarlycommunicationtoolkit/faculty/facultyauthorcontrol.cfm; University of Nottingham, "SHERPA/RoMEO: Publisher copyright policies & self-archiving," http://www.sherpa.ac.uk/romeo.php

[6] Howard-Tilton Memorial Library, "General Selection Guidelines," http://library.tulane.edu/collections/selection_guidelines.php; Howard-Tilton Memorial Library, "Digital Collections Policies," http://library.tulane.edu/collections/digital_collections_policies.php; Howard-Tilton Memorial Library, "Collections Policies," http://library.tulane.edu/collections/collections_policies.php.