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### Open Access Literature in Libraries: Principles and Practices

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# Open Access Literature in Libraries

*ALA Editions purchases fund advocacy, awareness,  
and accreditation programs for library professionals worldwide.*

# Open Access Literature in Libraries

Principles and Practices

**Karen Brunsting, Caitlin Harrington, and Rachel E. Scott**

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# Preface

## *Why We Could Not Write a Book on Open Access Policies*

**WE SET OUT TO WRITE A BOOK ABOUT OPEN ACCESS (OA) POLICIES FOR** library collections and quickly realized that we could not. Our previous research on the topic suggested that policy writing was declining in libraries as librarians embraced processes that prioritized agility over definitiveness. Our library training and work in technical services, however, reiterated the fact that libraries traditionally have had collection development and other policies to provide structure for our work. We thought that policies facilitated shared expectations and practices, and we were eager for libraries to formally and explicitly promote and integrate OA into their library collections. After conducting our own searches, we reached out to librarians on various forums and e-mail lists; despite these efforts, we received very few examples of library policies related to OA. We did not understand that we were missing the point.

Fortunately, a librarian colleague reached out to express concerns about policies. He asked whether policies were still relevant, and we shared that in our initial research we found that librarians did not explicitly write OA into collection development policies, even if the library had a policy that was up-to-date. The colleague asserted that a more important consideration was that policies end conversations and can be dehumanizing. Scholars have shown how policies have been leveraged to perpetuate racism, colonialism, and other atrocities.<sup>1</sup> We express our profound gratitude to this engaged colleague for showing us that the language of policies has served to exclude, dismiss, and



harm; we now understand that our book could not promote library engagement with and support of OA using such a framework.

We hesitated for a moment, though, when we remembered that libraries have long used policies to get things done. How could we accomplish our goal of creating a useful guide for librarians that would enable them to evaluate OA content and platforms, integrate OA content into their collections, make OA content discoverable alongside traditionally licensed resources, and transform their acquisitions models in support of OA? Some structure is needed, certainly, but given how dynamic and vast OA is, so is a great deal of flexibility and agility.

Librarians work with guiding principles that align their efforts with those of the library, larger institution, or professional practice. Librarians, and perhaps especially those charged with collection development and related responsibilities in acquisitions, discovery, collection analysis, or other technical areas, frequently have established practices, which may be documented in workflows, to articulate some of the specifics and to facilitate sharing tasks within and across departments. From our conversations about such theoretical and applied considerations, we decided to approach the topic of library support for OA via *principles* and *practices*, rather than policies.

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**NOTE**

1. David Gillborn, "Education Policy as an Act of White Supremacy: Whiteness, Critical Race Theory and Education Reform," *Journal of Education Policy* 20, no. 4 (2005): 485–505; Eva G. T. Green, Christian Staerklé, and David O. Sears, "Symbolic Racism and Whites' Attitudes towards Punitive and Preventive Crime Policies," *Law and Human Behavior* 30, no. 4 (2006): 435–54; Patricia Hill Collins, *Black Sexual Politics: African Americans, Gender, and the New Racism* (New York: Routledge, 2004); Josh Serchen, Robert Doherty, Omar Atiq, David Hilden, and Health and Public Policy Committee of the American College of Physicians, "Racism and Health in the United States: A Policy Statement from the American College of Physicians," *Annals of Internal Medicine* 173, no. 7 (2020): 556–57; Bernard Spolsky, ed., *The Cambridge Handbook of Language Policy* (Cambridge: Cambridge University Press, 2012).

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Libraries Writing Group for their helpful suggestions and to an anonymous  
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# Introduction

## *Open Access in Library Collections*

**ON FEBRUARY 14, 2002, THE BUDAPEST OPEN ACCESS INITIATIVE SET IN** motion a mission that would resonate with librarians worldwide, reflecting the very ethos of librarianship:

Removing access barriers to this [scholarly] literature will accelerate research, enrich education, share the learning of the rich with the poor and the poor with the rich, make this literature as useful as it can be, and lay the foundation for uniting humanity in a common intellectual conversation and quest for knowledge.<sup>1</sup>

The initiative claimed open access (OA) to peer-reviewed literature as its goal; self-archiving and OA journals were the means by which this open and inclusive future would be achieved.

In the two intervening decades, OA has evolved into the most complex challenge of the scholarly publishing landscape and something librarians grapple with on a regular basis. What began as an initiative with wide-ranging support and seemingly straightforward strategies has become an often contentious battle for the future of research dissemination, with seemingly countless opportunities touted as the path forward. Librarians have long played a role in providing access to, organizing, advocating for, and supporting research; in this new landscape, librarians have more and increasingly complex decisions to make about their professional and financial roles in these and

other research-related processes. In this introduction, the authors highlight definitions of OA, discuss how OA practices have evolved over time, and present various connections that librarians have made to OA.

## DEFINITIONS AND TYPES OF OPEN ACCESS PUBLISHING

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Scholars have defined OA in several different ways, and comparing definitions yields insight into the values held by scholars. A great starting point is the definition offered by Peter Suber in his 2012 book *Open Access*: “Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions.”<sup>2</sup> Although most scholars are likely to agree that OA literature is digital and online, some emphasize the fact that the content is free of charge, while others emphasize the lack of copyright and licensing restrictions. These two distinct aspects are sometimes referred to as *gratis* and *libre*, respectively.

Throughout this book, the authors focus on the *gratis* aspect of OA—that is, it costs nothing to access the content—for a variety of reasons. In the provision of access, the cost of the content is the first consideration; if one cannot access a text due to its cost, the question of how one can use it is secondary. Librarians are primarily concerned with curating, providing access to, and maintaining OA collections; how OA content is used is left to patrons. The ways in which patrons may use OA and other resources falls further from the purview of librarians. Additionally, the copyright and licensing restrictions of hybrid OA journals, for example, may be unique at the article and chapter level and are accordingly challenging for librarians to track for the millions of resources to which they provide access. Although librarians may answer questions about how published OA content may be used, addressing this question at the level of library systems is currently impossible.

Even within the cost-free aspect of OA, librarians will encounter a variety of ways in which authors and publishers make the literature available to read. Many readers will have encountered several “colors” used as prefixes to OA, including green, gold, and platinum. These colors designate different publication pathways and are used in Sherpa Romeo, a service that aggregates and presents the OA policies of various publishers and thousands of individual scholarly journals.<sup>3</sup> In gold OA, the author publishes their work in an OA publication, which charges the author a fee (known as an “article processing

charge” or APC) to cover the publishing costs. The chief advantage of gold OA is that the final, published version of the author’s work is freely available to everyone the instant it is published. In green OA, by contrast, the author publishes their work in a journal (either OA or paid-access), but the author also deposits (or “self-archives”) a version of their manuscript in a freely accessible repository, where it is available to everyone. In platinum OA, the author publishes their work in an OA publication but does not pay an APC; instead, the cost of publication is typically subsumed by a university, society, or other sponsor. There are many variations even within a single category of OA. Green OA, for example, may or may not have an embargo requirement; the content approved for deposit in an OA repository may be restricted to a preprint or accepted manuscript instead of the publisher’s final version; and the type of repository—such as institutional, disciplinary, or personal—may also be restricted. Green OA has sometimes been criticized as an inadequate OA solution because it does not sufficiently disrupt the traditional publishing industry. Green OA does not, for example, address the problem of rising costs of institutional subscriptions to scholarly journals (chiefly paid by university libraries). Some studies, however, indicate that green OA has benefits equal to those of gold OA, or even greater ones, at least for the individual author.<sup>4</sup> The varieties of OA publishing continue to evolve over time as a robust infrastructure has grown up around publishing, funding, and archiving OA content. The reception of OA is also changing as various stakeholders seek to establish how it might serve their needs.

## **ADOPTION AND EVOLUTION**

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OA publishing gained much of its initial traction in the sciences, where it has remained more widespread than in the social sciences, humanities, and arts. An early survey conducted at the University of California found that “a greater proportion of faculty in the Life & Medical Sciences (27%) compared to the overall average (22%) and to faculty in the Social Sciences (16%) have published articles in open access journals.”<sup>5</sup> More recent studies confirm that such disparities along disciplinary lines persist, although OA is arguably more familiar to scholars now than it was when this survey was released in 2007.<sup>6</sup>

The degree and potential causes of these disciplinary differences are still being explored in the literature, but there are many factors that contribute to

the OA publishing practices, or lack thereof, of researchers in various areas of study. Broadly speaking, differences in the format, frequency, and nature of research dissemination; the availability of OA publishing venues and infrastructure in one's discipline; and opportunities for research funding contribute significantly to the expectation, or even the necessity, that authors publish their work in an OA format.

The difference in the publishing practices of the sciences versus the humanities has been partially explained by examining the historical publishing format expectations for articles and monographs, respectively. In addition to these differences in preferred publishing format by discipline and their associated frequencies, though, are ideas about the very nature and purpose of research and how it is conducted. Although one might argue that the purpose of scholarship regardless of the discipline is to advance knowledge, the perceived role of individual scholars in this process may vary considerably between the sciences and the humanities. Scholarship in many areas of the sciences is frequently collaborative and lab-based; a lab may support dozens of scientists jointly authoring dozens of papers simultaneously. Research in the humanities is more often an individual endeavor with a tighter area of focus and methodologies that link scholars more to texts, broadly defined, than to personal collaborators. Scientific research, especially that which can be patented or produced in the corporate domain, can be highly secretive, while research in the humanities has relatively little financial value that would put it at risk in being openly shared and disseminated at any point of completion.

The number of OA and hybrid OA peer-reviewed science journals may still outpace these same venues in the social sciences and humanities, but the gap is not nearly as wide as it once was. As an example, 590 biology titles currently are indexed in the Directory of Open Access Journals (DOAJ) alongside 217 sociology and 1,458 language and literature journals.<sup>7</sup> Scientists who wish to publish their work OA may still, however, enjoy more well-established and high-impact OA options in their desired area of specialization than do social scientists and humanists. Several studies indicate that reaching the desired audience or placing their work in a well-respected or high-impact journal remains more important to many authors than the desire to publish in an OA format.<sup>8</sup> Moreover, discipline-specific OA repositories supporting the sciences were frequently established before those in the humanities, fine arts, or social sciences and may accordingly be more prevalent and more widely used. The

rapid and widespread acceptance of preprint servers in the sciences, such as arXiv in physics, has probably also played a role in the rapid rate of OA adoption throughout scientific disciplines.

Research within the sciences is often funded by project-specific grants. As previously mentioned, publications based on grant-funded research are now frequently mandated to be published OA, and authors may include the cost of any APCs in their grant-funding requests. The combination of funding to support and mandates to require OA publishing have certainly helped ease the transition to OA publishing for many scholars working in the sciences. Research investigating the characteristics of OA authors in the United States confirms that those with federal research funding, whose names were coded as male, are employed by an Association of American Universities member, conduct research in a STEM field, and hold a higher academic rank, are more likely to publish their work OA.<sup>9</sup> It seems that wealth and privilege afford scholars the resources and security to engage in OA publishing practices that will in turn benefit the impact and accessibility of their work.

## **BENEFITS OF OPEN ACCESS**

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OA holds many benefits for scholars, especially increased access to, visibility of, and impact of their work. Authors of scholarly articles do not typically profit from publishing their work, and so the decision to publish OA does not serve as a personal financial disincentive, unless they publish with a journal that requires an APC and are personally responsible for paying it. Research investigating the impact of publishing OA has shown that it increases citation impact when compared to conventionally published works that are accessed behind publisher paywalls. Scholars have recently corroborated the OA citation advantage: “accounting for age and discipline, OA articles receive 18% more citations than average, an effect driven primarily by Green and Hybrid OA.”<sup>10</sup>

The perceived benefits of OA likely intersect with scholars’ awareness of the enhanced opportunities afforded to them by a variety of digital publishing and scholarship platforms. Some studies have noted that scholars think OA is perceived to contribute to a faster pace of scientific advancement.<sup>11</sup> OA also has the capacity to shift how peer-reviewed literature can be reviewed and revised, though such opportunities have not always been realized. OA can be framed as part of the broader movement of “open science,” which not only deals with



the gratis and libre aspects of scholarly publishing but also with opening and making more transparent all the processes entailed in conducting, writing, evaluating, and disseminating scholarly work.<sup>12</sup> Open peer review is one example of this, with the capacity to make scholarly review processes more inclusive and participatory. Another example is open research data, for which requirements are starting to grow in grant-funded sciences. According to OpenAire, open research data “is data that can be freely used, reused and redistributed by anyone—subject only, at most, to the requirement to credit the curator and share under the same license.”<sup>13</sup> Open science provides an opportunity for an increased, if not also broader, participation and involvement in OA and related fields. Many of the benefits of increased transparency and inclusion have yet to be fully realized, but this leaves open opportunities for librarians to take on leadership roles at the convergence of such related topics as open educational resources, scholarly communication, and digital scholarship.

Concomitant with scholars’ awareness of the possibilities available to them are the policies surrounding OA at various departmental, institutional, regional, and national levels. As previously mentioned, many research-funding institutions, including government entities, increasingly require that funded research outputs be published OA. These mandates may come from institutions that employ researchers or from funding agencies, such as the National Institutes of Health (NIH). The NIH explains their OA mandate this way:

To advance science and improve human health, NIH makes the peer-reviewed articles it funds publicly available through PubMed Central. The NIH public access policy requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH-funded research to PubMed Central immediately upon acceptance for publication.<sup>14</sup>

Such mandates may also come from individuals, groups of research agencies, or institutions. Some recent mandates in Europe have expanded OA publication requirements for funded research. Plan S, for example, is a mandate of cOAlition S, a consortium of national research agencies and funders from twelve European countries. The main principle of Plan S is: “With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on

Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”<sup>15</sup>

Interestingly, these sorts of mandates came relatively low (6.9 percent) in the order of factors that influenced scholars’ decision to publish their work OA, according to a recent survey of early career researchers.<sup>16</sup> These researchers noted the following factors as more enticing than compliance with university or funder mandates: “democratic/ethical thing to do (18.9 percent); easier access to content (16.8); wider and bigger potential audience (11.7); contributing to the faster pace of scientific advances (10.7) and increased impact (9).”<sup>17</sup> It seems that mandates alone are currently not enough to drive OA publishing, whether it is because they are challenging to enforce, insufficiently widespread, lack administrative support, or some combination of various factors has not yet been definitively established.

## WHY SHOULD LIBRARIANS CARE?

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The cost of academic serial subscriptions has been growing at alarming rates over the past few decades; this trend is well documented in the literature. Very few libraries can afford to purchase all of the scholarly journals to which their community may seek access, and these gaps often reinforce disparities in wealth and access.<sup>18</sup> The increased costs of subscriptions have led universities to more closely scrutinize their usage data and develop acquisitions models that address gaps in access caused by inflationary pricing and flat budgets; examples of these models include pay-per-view article tokens and replacing high cost-per-use subscriptions with paid document delivery services.<sup>19</sup> Where a single subscription to the physical item may have sufficed—and been the only option—in days gone by, now there are frequently many access options. These range in size from purchasing a single article via services such as Get it Now from Copyright Clearance to a big deal subscription, which includes specific journals of interest bundled with other access-only and OA journals. Big deals can offer significant savings over the traditional method of title-by-title subscriptions to many individual journals. But even subscriptions to single journal titles have grown more complex; hybrid OA journals, for example, publish OA content alongside traditionally copyrighted and licensed materials, thereby blurring all sorts of lines for librarians, authors, and readers alike. All this complexity has given rise to Unsub, a service that analyzes big deal

usage reports and post-termination rights to assess OA overlap, journal-level citation, and local authorship data to forecast the effects that canceling a subscription or big deal contract would have on the library's costs and fulfillment. All existing models, and likely all of those to come, offer librarians a host of benefits and challenges.

OA publishing may be part of a sustainable solution by which librarians can provide and connect users to the rich collections they need in order to keep libraries central to information discovery and access. OA publishing has the potential to disrupt scholarly publishing models, some of which have not served scholars, librarians, or readers well. Specifically, many scholarly publishers yield incredibly high rates of profit, while the authors, editors, reviewers, and others involved in the intellectual work of content creation and revision receive little or no payment for their labor. A substantial amount of public money from government agencies, public universities, and other state sources is pumped into scholarly publishing and largely benefits a small group of for-profit publishers.<sup>20</sup>

Conventional publishing models depend on limiting access via subscription. Knowledge production, however, does not require and does not benefit from such restrictions. On the one hand, scholarly publishing has exploded in the digital environment—access to publications in the print environment was limited in that libraries had fewer subscriptions, journals published fewer articles, and patrons only had access to their own paid subscriptions, those of colleagues, or library collections in close geographic proximity. On the other hand, scholarly publishing in the digital environment has introduced new restrictions around how content can be accessed and shared, with libraries standing to lose access to subscription content upon cancellation. This is obviously different from canceling a print subscription, in which case the library would have the option to retain it. The gratis aspect of OA does not address this particular problem, but the libre aspect does allow libraries more opportunities to preserve and retain digital content.

## **LIBRARIANS' ATTITUDES TOWARD OPEN ACCESS PUBLISHING**

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Beyond obviating the skyrocketing costs of scholarly journal subscriptions for libraries, OA provides many other benefits, if also complexities and challenges. OA content is growing rapidly and in diverse disciplinary areas. Incorporating

OA into library collections, then, provides libraries with opportunities to affordably build and diversify those collections. In a recent survey of librarian attitudes related to OA, respondents indicated that they contributed to the promotion of OA because of its “free content (59 percent), relevance of content (50 percent), [their] desire to advocate for OA (49 percent), the vast and growing number of OA outlets (44 percent), [their] desire to engage with or learn about OA (43 percent), and the quality of OA content (42 percent).”<sup>21</sup> It is interesting to note that some elements, such as the perceived quality of OA content, can be understood both positively, as contributing to the promotion of OA, and negatively, as an obstacle to the broader promotion of OA. The same survey found that several other factors, including the stability of OA content, the potential for the inclusion of unvetted sources, the practices of so-called “predatory publishers,” a lack of OA understanding or training, and concerns about the perceived lower prestige of OA content make librarians reluctant to promote OA, however.<sup>22</sup>

An IMLS-funded study yielded similar findings with respect to librarians’ motivations to support OA, or their reluctance to do so.<sup>23</sup> Librarians’ philosophical motivations to support OA included its alignment with their institution’s mission and strategy, its enhancement of their library’s brand and competitiveness, its commitment to social justice and openness, and its contributions to the scholarly conversation. Librarians’ practical motivations for supporting OA included its relatively high return on investment, its positive effects on student success and faculty impact, its facilitation of the (re) use of learning objects, the fact that the cost savings from using OA resources enable libraries to reallocate funds previously paid to commercial publishers, and that OA collections can support local and specific projects, including open educational resources (OERs). Conversely, scholars were reluctant to support OA based on lack of funding and the large number of OA projects and products, the complexity of OA publishing models and processes, the perceived lack of “governance, transparency, or long-term sustainability and viability of the OA provider,” institutional resistance to OA, and local restrictions on financial payments.<sup>24</sup>

These studies suggest that librarians accept OA content as cost-free, relevant, and potentially useful; the question then becomes how to select from the plethora of worthwhile OA opportunities, integrate that OA content into library collections, describe and provide access to that content, accommodate

all the workflows related to that content, and then assess and preserve or deselect that content. Although OA content does not have ongoing subscription costs in the way that traditional serials subscriptions do, providing curated and stable access to OA materials demands that librarians devise appropriate workflows and practices to support OA. Some librarians report struggling to justify the labor required to integrate OA with their paid digital content given the large financial investment for the latter.<sup>25</sup>

## **NEW FUNDING AND COLLECTION DEVELOPMENT MODELS FOR OPEN ACCESS LITERATURE**

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Collection development models are evolving to include OA among more conventional purchasing and paid-access models. One model that has received much attention in the scholarly, trade, and popular media is the Read & Publish agreement. These so-called transformative agreements allow library users to read licensed content and publish their work OA. The primary concern about Read & Publish agreements is that they shift the cost burden from subscriptions (the “read” part of the contract) to authoring (the “publish” part); some have suggested that this serves to exclude prospective authors who lack funding support. As individual libraries or consortia negotiate a Read & Publish agreement, it is their responsibility to ensure that the agreement serves the needs of both local authors and readers.

Some publishers have said that Read & Publish agreements will allow them to transition their content to OA, with the Cambridge University Press going so far as to indicate its intention to make all journal content available as OA:

As a university press and not-for-profit publisher, we are working in partnership with the communities we serve to help shape the future of scholarly communication. We are pioneering new approaches that are sustainable and maintain our reputation for quality and excellence. All communities around the world must be able to benefit from open research, irrespective of funding levels or other inequalities. We’re committed to making all of our journal content available Open Access (OA), reflecting the belief that the pursuit of knowledge benefits directly from collaboration, transparency, rapid dissemination and accessibility.<sup>26</sup>

Most other publishers have not made this explicit, even if it is a goal, and are seemingly satisfied to accept APCs for an article without any intention of giving up subscription fees for the hybrid OA journal in which that article is published.

Crowdfunding, a type of crowdsourcing, has the simple goal of raising funds from large, distributed crowds. Crowdfunding has been used in several OA publishing projects, in which case the objective is to raise sufficient funds to publish, or convert materials to, OA. Thomas L. Reinsfelder and Caitlin A. Pike discuss several existing crowdfunding options that libraries currently use or support, including Knowledge Unlatched, SCOAP, arXiv, Open Library of the Humanities, Unglue.it, Reveal Digital, Level Press, Open Book Publishers, UC Press Luminos, and Open Access Monograph Publishing Initiative.<sup>27</sup> Knowledge Unlatched, for example, offers a crowdfunded model to support various OA book and journal packages. It provides libraries, library consortia, and other institutions with a centralized online marketplace to support OA collections and models from various publishers.<sup>28</sup> Knowledge Unlatched provides a useful example to examine the fluidity of OA approaches and how various stakeholders respond to them. Marcel Knöchelmann and Rupert Gatti separately discuss why it is problematic that Knowledge Unlatched was converted to a German GmbH owned by a board member of a for-profit publisher and how the lack of transparency around this process has cast doubts on the role of this key player in the future of OA monographic publishing.<sup>29</sup>

Another new model is referred to as Subscribe to Open or “S2O.” This is a model in which traditional journal subscriptions are converted to OA using the library’s regular subscription payments. For this model to work as intended, the publisher must collect sufficient revenue from subscribers to convert the journal to OA. Annual Reviews is an example of a publisher that currently has Subscribe to Open in place for a handful of its journals; it plans to convert all its titles to this model beginning in 2023.<sup>30</sup> Chapter 2 offers further discussion of OA models and how libraries have engaged with them.

## **ABOUT THIS BOOK**

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Describing how OA has influenced scholarly publishing and library collections up to the present day is not the primary purpose of this book. Instead, this book’s purpose is to support librarians as they articulate OA principles and

practices that will enable them to treat OA materials as part of their collections. The history of OA and some of its implications for scholarly communication and library collections are offered in support of this purpose. In order to successfully integrate OA resources into library collections, librarians need to understand some of the economic models for funding OA. These models are evolving quickly, and this has perhaps made some librarians hesitant or reluctant to integrate OA materials into their carefully curated collections. The authors have written this book to offer guidance to those librarians who are inclined to support OA and wish to leverage the rich content published as OA for their collections.

This book highlights the considerable changes and developments that have occurred in the OA landscape as it has grown in size, scope, familiarity, and adoption. By contextualizing the history and current OA work in libraries, we can better craft principles and practices that accommodate the dynamic nature of OA in the future. This book provides librarians with tools to adapt current guidelines and workflows or create new ones that are suited to the needs of their libraries. With a focus on the development of OA collections and platforms within academic libraries, the authors aim to explore in depth many of the practical considerations that will empower readers to write and revise their libraries' approaches to OA.

The organization of this book facilitates the reader's journey from the broad and conceptual world of OA definitions, opportunities, and challenges to the applied work of crafting useful local OA practices and workflows. In chapter 1, we describe the historic role of library collection development policies and explore why OA is not an ideal fit for them. Although policies are not the path forward with OA, there are several ways in which libraries are bringing OA into alignment with their collection development practices. We then delve into the main problem—unless librarians formalize the integration of OA in their library collections and consider their institution's principles and practices in support of OA, it is unlikely to happen spontaneously or to be approached systematically. Policies, however, are no longer the most appropriate method to formalize institutional support for OA.

In chapter 2, we discuss several ways in which librarians have supported OA initiatives or integrated OA materials into their collections. We examine strategies for selecting OA titles or collections for inclusion; workflows for adding,



activating, removing, and maintaining OA titles and collections; approaches for negotiating Read & Publish agreements; ideas for aligning collections with institutional repositories and other green OA initiatives; supporting university, national, and other OA mandates or policies; and guidelines for financially supporting OA content, initiatives, and platforms.

In chapters 3 and 4, we share examples of how OA principles and practices, respectively, have been incorporated at various libraries. In both chapters, we evaluate the strengths and weaknesses of these approaches and distill them to propose best practices to be adapted and adopted. Chapter 5 considers how OA publishing does and does not align with diversity, equity, and inclusion initiatives. Chapter 6 discusses the importance of empowering librarians to respond with agility when they encounter inevitable changes in OA, their institution, and our profession. Because of the fluid nature of OA and of library collections more broadly, librarians cannot simply document their principles or practices and move on. Instead, librarians must conduct ongoing assessment and evaluation to ensure that they are serving patrons and collections as intended. This final chapter reiterates the importance of keeping OA principles and practices up-to-date to ensure that they support your library's path to an open future.

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## NOTES

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# Collection Development Policies and Open Access

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**FORMALIZED APPROACHES TO OPEN ACCESS (OA) IN THE PROFESSIONAL** literature tend to focus on institution-wide policies or statements that endorse OA publishing. These approaches vary from the Harvard-style nonexclusive license that makes faculty publications freely available for noncommercial use via an institutional repository (IR) to statements of endorsement for OA publishing. While these policies and statements do advance the cause of OA publishing, either through requirements or encouragement, the role of the library is very often secondary. Furthermore, for institutions that lack the resources to create and maintain an IR, such approaches provide only limited opportunities for the library. There must still be a way for librarians to formalize their support of OA; we argue that library collections provide another viable path forward. Library collections are created and maintained by librarians for a specific community of users, and the work of collection development affords librarians opportunities to advocate for content and principles that serve their community.

This chapter opens by addressing the historic role of collection development policies, discussing their strengths and weaknesses, and exploring their viability for promoting OA publishing. We make the case that collection development policies are no longer serving librarians who need to respond with more agility than such policies allow; policies have proven particularly inhospitable to collecting digital and other nonprint formats. Collection development policies are, however, how libraries have “always done things” and are

the mechanism by which things are accomplished and assessed in libraries. We appreciate that such policies have been used to create structure, communicate intention, and facilitate assessment—and we acknowledge that these needs remain. We contend, however, that principles and practices can provide the utility of policies without the alienating limitations they often impose. Principles and practices allow larger and more diverse groups of stakeholders to contribute to conversations about the library’s role in supporting OA; a variety of approaches and perspectives are needed to ensure that OA can be integrated into library collections and supported effectively.

## **BACKGROUND**

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A written collection development policy has been thought to be integral to successful collection management. Peggy Johnson, who has written and revised several editions of her definitive book on collection development, states that “libraries without collection development policies are like businesses without a business plan.”<sup>1</sup> Collection development policies have long been a standard best practice in libraries. In fact, the American Library Association has issued guidelines and updated editions of collection development guides since 1977.<sup>2</sup>

Historically, a collection development policy included a statement of the library’s mission as well as a description of the current collection. The policy also traditionally included a statement on the library’s professional standards, academic requirements, and budget, as well as a description of the scope and depth of the overall library collection and the comprehensiveness of individual disciplinary areas.<sup>3</sup> Collection development policies may designate materials formats or subjects that are comprehensively collected, more selectively collected, or not collected at all, and the policies will often provide guidelines for changes in budgets as well as changes in the library landscape. Several libraries have used a collection development policy to articulate the purpose of the collection in serving their community. When this approach is taken, the policy can also be used to promote the library, as described by Rick L. Fought, Paul Gahn, and Yvonne Mills.<sup>4</sup>

## THE ROLE OF COLLECTION DEVELOPMENT POLICIES IN LIBRARIES

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Collection policies have been used to provide guidance to those both inside and outside of the library. Within the library, a current collection development policy can be useful to personnel by providing a snapshot of the current collection, as well as specifying the future direction of the collection. These policies have been deemed important in libraries because they aid in creating coherent, useful collections according to agreed-upon guidelines. The policies enable librarians to prepare for the uncertainty of the future. Creating policies allows librarians to maintain a level of control, or at least the illusion of control, over the inevitable changes they will face.

A collection development policy has been deemed essential to building and maintaining appropriate collections and guiding decisions around de-selection and preservation because it formalizes and depersonalizes these processes. Collection development policies provide prescriptive parameters for selectors that dictate the collection's scope and goals, facilitate the selection of appropriate materials, and provide continuity as individual selectors come and go. By outlining the criteria for which gifts to accept, reject, or investigate further, collection development policies have also proven useful when receiving donations. Another instance in which such policies have proven helpful is when specific titles are challenged; policies can provide a context for the decisions that the library makes at the level of both individual titles and entire collections. Referring to a collection development policy may protect individual librarians who can assert that the title was acquired based on a policy and not on the individual's own discretion.

For those outside of the library, a collection development policy might be leveraged to provide insight into the library's value. The policy demonstrates to faculty, administrators, and funders how the library is advancing the mission of the institution by outlining how the library uses collections to support teaching, learning, research, and other community needs. An effective collection development policy illustrates that the library is making good use of funds by defining the goals and priorities of the collection, thus ensuring the budget is spent appropriately. The policy shows how the library intends to meet patron needs and institutional goals. The benefits of a collection development policy are only applicable, however, if the policy is current and

well-written. This requires revisiting and modifying the collection development policy frequently. Matt Torrence, Audrey Powers, and Megan Sheffield found in their 2012 survey of fifty-three public and private college and university libraries that the majority reviewed their collection development policies only once every five years.<sup>5</sup> Changes in electronic resources, acquisitions models, scholarly communication and publishing trends (including OA), repository availability, and other factors suggest the need to review these policies more frequently.

## **WHY COLLECTION DEVELOPMENT POLICIES MAY NO LONGER BE RELEVANT**

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A major detriment to the continued use of collection development policies is their need to be reviewed and revised frequently, especially in an age in which digital collections and their use require librarians to focus on rapidly changing and increasingly complex considerations. Scholars have noted that “most library organizations lose interest in maintaining and consulting collection development policy statements. Some collection development professionals argue that the digital environment librarians maintain requires much of their attention and expertise, so there is little time to invest in collection development policy statements.”<sup>6</sup> Creating and updating a collection development policy often require the untenable components of a team of librarians, a time commitment of many months, access to assessment tools, and the input, and often approval, of faculty or administrators. Collection development policies cannot be duplicated among institutions. Due to the many variables and differences among libraries and institutions, each collection development policy must be unique and evolving in order to be effective.

Collection development policies in academic libraries originally focused on building unique collections of print materials tailored to their faculty’s research and curricular needs. This detailed customization may have been eroded in part by approval plans and other acquisitions processes that outsourced selection and customized collection-building and sometimes contributed to more homogenized collections.<sup>7</sup> An actively maintained collection development policy can reflect community needs and library values; an obsolete policy no longer aligns the collection with community needs and ties the hands of library personnel who want to collect in new areas or formats.

Although depersonalizing collection decisions may protect individual librarians when a book is challenged or when patrons demand to know why a title cannot be purchased, it can also alienate library employees who are not empowered to make exceptions or to acquire materials not specifically addressed in a policy.

Although collection development policies remained relevant as the primary means of asserting control over library collections for several decades, this can no longer be taken for granted. Tony Horava and Michael Levine-Clark reported that five out of sixteen academic library respondents in their 2016 study did not have a collection development policy, while another three were simplifying the lengthy collection development policies to a more brief and concise policy.<sup>8</sup> Vicki L. Gregory explains that the once fairly standardized collection development processes are no longer relevant to modern libraries; our processes for selecting and evaluating materials have had to evolve as conditions, user needs, and resources have changed.<sup>9</sup> Torrence, Powers, and Sheffield ask whether there is a future for the collection development policy, specifically: “Do the changes in format and economics require policies that address these shifts?”<sup>10</sup>

Helen N. Levenson puts forward the idea that changes in library resources, such as electronic and digital resources, increase the challenges for collection management as well as create a greater need for effective collection development policies.<sup>11</sup> But if collection development policies are still relevant, they need to evolve. Jim Vickory contends that the once common conspectus approach is no longer effective due to the rapidly changing environment in which librarians work. An exhaustive, detailed collection development policy is inflexible and hard to update.<sup>12</sup> It takes extensive time and labor, as well as the input of many stakeholders, to create and update a collection development policy. Time and labor are factors with which libraries struggle as budgets are reduced and staffing cut. These factors and the questionable relevance of policies are cited as the reasons why libraries no longer have a collection development policy, or, if they do, the reason why it is out of date. Librarians are at a turning point as we weigh the advantages and disadvantages of collection development policies. The literature suggests the need for a different approach, one that provides flexibility in a rapidly changing resource market and empowers personnel to collect according to community-informed principles.



## COLLECTION DEVELOPMENT POLICIES AND OPEN ACCESS

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Given the role that collection development policies have had in shaping libraries, guiding the decisions of personnel, and conveying value to the broader community, they would seem to be an ideal space for explicitly stating a library's commitment to OA literature and initiatives. The rapidly shifting nature, diversity, and perceived complexity of OA resources, however, can create challenges for those looking to build their collection on the solid foundation of a collection development policy. For some librarians, it may seem unnecessary to include resources freely available online in a document that is designed to specify priorities for the distribution of funds. Some collection development policies focus on the content provided and do not address formats. As Levenson notes, however, the format acquired does present unique challenges to collection development. The proliferation of best practices for collections of streaming media, games, technical standards, zines, and other formats highlights the degree to which the medium is the message.<sup>13</sup>

The rise of OA and the decline of collection development policies have unfolded over the past few decades and share some overlapping factors. Sharon Dyas-Correia and Rea Davakos investigated OA and collection development policies and found that librarians' uncertainty or confusion about OA may lead to their not including it in their policies.<sup>14</sup> Where collection development policies are the domain of certitude and systematic approaches, OA continues to proliferate in content, models, and varieties, requiring a great deal of flexibility. Dyas-Correia and Davakos found that some librarians include OA in their procedures and practices, but not in their policy, and some others have created objective and strategy statements to describe their collection development activities.<sup>15</sup>

Policies were devised to facilitate the methodical building of library collections, but there is a growing consensus that they have become a hindrance. As Horava and Levine-Clark noted, collection development policies should help librarians shape collections to meet institutional needs, but such policies often get in the way.<sup>16</sup> The shortcomings of collection development policies are particularly evident when applied to freely available, digital, rapidly proliferating, and incredibly dynamic OA publications. The evolving scholarly communications landscape and perhaps especially the evolution of OA have highlighted tensions in the role of the "librarian as gatekeeper." Most often, librarians do

not control the information our users encounter and access; this begs questions not only about the librarian's role in information curation moving forward but also about how we articulate the principles that inform this work.

## **PRINCIPLES AND PRACTICES INSTEAD OF POLICIES: CREATING A STRUCTURED COMMITMENT TO OPEN ACCESS**

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Despite the admonition by the ACRL's Research Planning and Review Committee to create clear library policies for supporting OA initiatives, it is the authors' supposition that support for OA may not be best articulated in the collection development policy.<sup>17</sup> As previously stated, the collection development policy takes much time and effort by multiple librarians to produce, is not easily updated, and has ended dialogue instead of acknowledging and incorporating diverse perspectives. Due to the ever-changing nature of OA, and the difficulty in keeping a collection development policy current, a detailed policy of how OA will be supported in the collection is likely neither sustainable nor helpful. OA is better incorporated into a library's philosophy of advancing and supporting scholarship and its practices for incorporating resources into its collection. By approaching OA support through principles and practices, librarians will be able to respond nimbly to changes.

It is critical that librarians have some means by which they can demonstrate their commitment to OA in a way that is structured and intentional. The cost-free nature of OA content gives some librarians and end-users the impression that it may not be worth the same time and effort that is expended on licensed content.<sup>18</sup> Part of the cost associated with licensed content is the service provided by the publisher to maintain communication and metadata around title or package changes. Furthermore, librarians understandably scrutinize paid content because there exists a need to justify how institutional funds are spent. These are not reasons to opt out of practices that support OA, however. If libraries do not consciously maintain OA content alongside licensed content, it becomes an optional part of workflows or the pet project of an interested individual or group. With cuts to library budgets and shrinking personnel, optional workloads may not be addressed when the necessary time and labor are already stretched too thin. Additionally, if OA promotion is managed only by those with a particular interest in it, then when that person or group inevitably leaves, that work may or may not be picked up by existing or

incoming personnel. Support for OA publishing must be embedded in libraries' foundational principles and practices to ensure its sustainability.

As an alternative to collection development policies, we suggest that librarians use principles and practices to demonstrate a commitment to OA publishing and resources. A library's principles can be expressed in documents or statements that reflect the library's future plans, such as a strategic plan or a mission statement. Principles are often the purview of administrators and institutional leaders, and a statement endorsing OA reflects the library's values both internally and externally. Practices include the workflows and internal documentation that operationalize the principles the library has articulated. An impactful commitment to OA must be woven into the daily workflows of library personnel. Library practices are highly localized and exist in training materials, job documentation, and institutional memory. Practices to promote OA publishing will vary significantly depending on the institution.

Although it may no longer be the norm, some librarians actively maintain and consult their collection development policy. We acknowledge that such a policy can, under the right circumstances, be used to convey your library's principles and practices. If your library's collection development policy continues to direct the principles and practices of your collections, then by all means include your commitment to OA publishing in it. If, however, your library has used policies to absolve certain groups of collections-related responsibilities, to silence potential complaints or concerns around collections, to maintain the status quo, or to introduce obstacles to assessing and improving collections, we invite you to rethink this approach.

## **OPEN ACCESS SUPPORT THROUGH LIBRARY COLLECTIONS**

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This book makes the case for librarians to demonstrate their commitment to OA via their collections. Some academic libraries fund gold OA publishing and many support green OA. These efforts, along with a host of other opportunities to fund OA, are valuable and effective in promoting OA publishing, but they are not within the means of all libraries. Although not all libraries have the funds or institutional support to fund OA publishing or manage an institutional repository, they do have methods for managing access to their collections. Furthermore, while gold and green OA publishing practices contribute to the existence and availability of OA content, the content may not

be discoverable via users' preferred mode of access. Therefore, even libraries involved in gold or green OA publishing efforts can benefit from incorporating their structured support for OA into the principles and practices of their collections. Opportunities to support OA are available to all libraries—regardless of budget, size, or type. The next chapter highlights strategies that librarians have used to integrate OA into their collections. These strategies are best realized by establishing clear OA principles and practices, which is the focus of chapters 3 and 4.

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# Open Access and Library Collections

## Current Practices

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**AS OPEN ACCESS (OA) HAS EVOLVED OVER THE PAST TWO DECADES, LIBRARIANS** have gained familiarity with OA publishers and platforms and learned more about the potential benefits OA holds for enriching and expanding library collections. Based on this knowledge, librarians have gained confidence in the quality and stability of OA. Some libraries have also begun to financially support OA projects and platforms or to integrate OA content into their collections. Decisions about whether and how to support and integrate OA into library collections often reflect personal, local, or consortial values and strategy. The variety of ways in which librarians have chosen to support and integrate OA into their work reflects not only these values and strategies but also the growing number of OA platforms, publishers, and services on the market. The lack of established best practices and the continued growth and development of OA opportunities can be overwhelming to librarians, however.

Financial and space limitations often prevent librarians from providing access to materials that are deemed to be of insufficient quality or of minimal relevance to their community. OA has no such limitations and allows patrons to access resources that may, or may not, have been curated by a librarian at the title level. Previous limitations highlight the tension between the coexisting ideas that librarians should carefully curate their collections and that they should support the freedom of readers to determine what they want irrespective of the librarian's professional opinion. With the removal of financial and space limitations as a barrier to curation, this tension becomes even more

prominent; should librarians carefully curate, or should they provide access to as much as possible and let the users decide for themselves what suits their needs? Or should librarians seek some middle ground? Librarians can deliver value by saving the time of the reader, and this need not exclude OA.

As librarians integrate OA resources into their collections, they frequently come up against fundamental questions. The newness and difference of OA force librarians to reconsider such timeless questions as, for example, “Does the library’s acquisition or inclusion of a work imply an endorsement or recommendation of it?” It also asks librarians to consider thoroughly modern questions such as, “To what extent should libraries be engaging in OA curation, especially when the content can be discovered and accessed via most online search engines?” Whatever answers to these and other questions an individual librarian might supply, librarians increasingly come face-to-face with OA and cannot easily opt out of questions related to it. The following section will explain in broad strokes how librarians have engaged with OA, with a focus on collection development, to provide context for the analysis of principles and practices that follow in chapters 3 and 4.

## **STRATEGIES AND WORKFLOWS FOR ACTIVATING AND MAINTAINING OPEN ACCESS TITLES AND COLLECTIONS**

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In order for patrons to use OA content, they need to be able to find it. Therefore, libraries may activate available OA content alongside licensed content in their knowledgebase, discovery layer, or link resolver. This is most commonly achieved by enabling, or turning on, collection-level metadata that is provided by a third party, such as the Directory of Open Access Journals. Collection-level metadata is often preferred because cataloging OA content at the title level may require original cataloging and is thus time-consuming and laborious to manage over the long term. Aaron McCullough’s 2017 study found that the discoverability of OA monographs was dependent on the publisher contributing record metadata to a third-party aggregator, such as the Directory of Open Access Books.<sup>1</sup>

The existence of “hybrid OA” journals, which include a mix of OA and subscription articles in the same journal, creates an additional obstacle for librarians seeking to create access points for OA content in their holdings. If managing title-level OA information is overly burdensome for library

workflows, then tracking article-level information is nearly impossible. Chris Bullock, Nathan Hosburgh, and Sanjeet Mann found that only 10 percent of the libraries participating in their 2015 study provide access to hybrid OA content, with twice as many reporting that they never provide access to this type of resource.<sup>2</sup> Much has changed since 2015, but no similar studies have been published more recently.

The first step in any OA workflow should be to research the available options. OA titles can be selected individually or by collection such as Project Gutenberg, HathiTrust, the National Academies Press, and the OAPEN library.<sup>3</sup> Librarians need to ensure that OA content from current vendors as well as any new content is included in the discovery layer. To benefit users looking specifically for OA content, the discovery layer could be set up so that search results can be limited to OA articles. If staffing levels allow, OA books and articles can be cataloged to make them more discoverable for library users. A cataloger can use MARC standard in the record to identify when the resource link is OA (856 \$u field paired with a \$7). Recent amendments to MARC fields 506 and 540 further support OA.<sup>4</sup> As with many library workflows, the amount of time and attention given to each of these steps depends on the number of personnel and the support of the library administration.

One method for maintaining OA access is to integrate OA-specific tasks with the existing electronic resource workflow. The University of Hull, University of Lincoln, and University of Huddersfield investigated how OA workflows could be combined with electronic resource workflows. They used elements of Techniques for Electronic Resource Management (TERMs), including investigating, acquiring and implementing content, evaluation and review, and cancellation.<sup>5</sup> Jill Emery, Graham Stone, and Peter McCracken updated their 2013 volume *Techniques for Electronic Resource Management* in 2019 to *TERMs 2.0* to include the incorporation of OA content into the e-resources workflow.<sup>6</sup> Incorporating OA into established workflows increases efficiency and helps ensure that the work will be done.

The capabilities of interlibrary loan (ILL) systems have evolved to include features that can search for OA options of requested materials. Tina Baich demonstrates that add-ons such as Google Scholar and HathiTrust for ILLiad users can save time and money for ILL departments by pre-searching for an OA version of a requested resource before it reaches the institution's borrowing queue.<sup>7</sup> The requester is informed within minutes of submitting their request



about the availability of an OA version of their request, along with an option to resubmit if the publisher version is required.

Another opportunity to provide access to and promote OA collections is by adding them to library guides and course materials. Using a content management system like Springshare’s LibGuides platform makes it easy for librarians to promote OA sources alongside content found in the collection, either print or online, in addition to any content that is freely available on the Web. Avenues for discoverability and promotion, such as knowledgebases or subject guides, however, run the risk of becoming content dumping grounds because of the ease with which content is enabled. Without regular scrutiny and well-defined local practices, it is easy to add or enable all content so as not to exclude anything. The result of this practice is that the user encounters an abundance of information and resources that have been curated without much thought to the reader or community.

A more selective approach to OA activation might entail curating OA content that is actively used by patrons. Several citation analysis studies have revealed the reliance of different user populations on OA content. In a citation analysis of dissertation bibliographies, for example, Melissa Gasparotto reported that articles in OA journals were cited more frequently than those in closed-access journals.<sup>8</sup> A recent study by Susan Vandagriff and Matthew J. Jabaily provides a useful model for using the data from a citation analysis to inform local OA practices.<sup>9</sup> Vandagriff and Jabaily discuss how their citation analysis of publications by faculty in health sciences led them to activate OA content that was being locally read and cited.

## **APPROACHES FOR NEGOTIATING TRANSFORMATIVE AGREEMENTS**

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Transformative agreements, also called Read & Publish or Publish & Read agreements depending on which aspect is emphasized in the agreement, account for the costs of both reading and publishing. Read & Publish agreements are understood to be transitional in that they acknowledge historical library subscription models that emphasize “read” access, but they move toward a model in which the costs required to “publish” scholarly work as OA are also accounted for. Many academic institutions currently pay for journal content in multiple ways—through library subscriptions; article processing

charges (APCs); research funding; or the salaries of faculty members, who often serve as authors, reviewers, and editors of journals. Transformative agreements would potentially allow these institutions to take a single and unified approach to the costs associated with OA publishing and make all of the content written by affiliated authors available to readers worldwide, thus increasing their impact.

Librarians negotiating a transformative agreement have many data sources that can factor into their decision-making process. They will consider the “read” side of the agreement—for example, their subscription costs and the content to which their subscription affords them access—as well as the usage of the content, the cost per use, and cost increases over the years. Is the amount of paywalled content growing? Has the value of “reading” diminished locally? Does turnaway data suggest unmet needs? What hybrid OA, editorial, or other freely available content is included in the usage data? They might investigate whether expanding “read” access is desirable because it would save costs related to paid document delivery or ILL services.

Librarians might also discuss with institutional stakeholders how the “publish” side of the agreement would interact with the existing funding sources for OA publishing. They could also investigate data related to the “publish” aspect, including historical institutional publishing patterns with the publisher of interest and the cost of APCs or other OA publishing fees—whether supplied by the library, the broader institution, external funders, or individual authors. It can be challenging for librarians to obtain all the corresponding author data, and accordingly we often rely on publishers for data on the “publish” side. Librarians can also partner with their institution’s office of research or they can access data in Scopus or Web of Science to supplement or verify vendor-provided “publish” information. This data could also be leveraged to predict likely publishing rates that might inform the establishment of a number of APCs if a capped publish agreement is in the works.

As the authors were writing this text, Read & Publish agreements were making the news in higher education outlets as well as library-specific venues. As previously mentioned, for some publishers these transformative deals are how they intend to transition from traditional subscription-based models to a fully OA model in which they would not be reliant on “read” subscriptions. Detractors compellingly argue that transformative agreements do not sufficiently disrupt economic structures, may diminish librarians’ negotiating

power, and have unknown long-term implications.<sup>10</sup> Suggestions that transformative agreements “create a tiered access system to open publication for authors, potentially damaging both individual careers and the scholarly record’s integrity,” however, cannot be sufficiently supported.<sup>11</sup> As with all possibilities for supporting OA, a library’s decision to pursue a transformative agreement must be grounded in local needs, involve local stakeholders, and be negotiated based on local data.

Most transformative agreements have included comprehensive reading access to the publisher’s portfolio. The University of California’s guidelines for evaluating transformative agreements make this requirement explicit.<sup>12</sup> But might there be room to limit the “read” component of an agreement, and if not, what limits might be placed on a Read & Publish agreement to make it more affordable and accessible to libraries with smaller budgets? What institutional partners might be willing to partner with the library to embark on a transformative agreement? Perhaps if the office of research or other units had previously paid APCs for institutional researchers, they would be willing to contribute at that same level.

There have been suggestions that Read & Publish agreements disadvantage smaller and poorer institutions, and this claim deserves serious consideration. The implications for readers, regardless of location or affiliation, are largely positive; that is, the more institutions sign on to OA agreements, the more content will be available OA for readers worldwide. The concerns relate to “publishing” and how transformative agreements based on APCs will impact scholars at institutions without the resources to support both “read” and “publish.” It is important to acknowledge, however, that transformative agreements did not introduce APCs and that APCs are treated differently in different agreements.

In the current landscape, institutions with greater financial means also tend to have higher publishing outputs and may be able to afford subsidizing APCs. Institutions that are less well-resourced also frequently have lower research output and would likely have lower expenditures for their “publish” output. Indeed, institutions with lower publishing output may successfully negotiate cost-neutral transformative agreements. It is worth noting, too, that several vendors offer publishing waivers for scholars who lack institutional funding.<sup>13</sup> Some argue, however, that waivers are financially unsustainable for nonprofit publishers, are subjective, and create obstacles for authors.

The potential benefits of transformative agreements are apparent, and many of the potential harms have not been established. Whatever the outcomes of transformative agreements on the scholarly publishing landscape, the importance of making decisions that support local principles and can be maintained with local practices is essential. Librarians interested in transformative agreements must negotiate with publishers to acknowledge the needs of their constituents and sign on to agreements that will benefit their community.

## **INSTITUTIONAL REPOSITORIES**

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Clifford A. Lynch's 2003 article on the emerging role of institutional repositories (IRs) envisions a platform where digitally born scholarly communications and teaching materials are preserved and made available through standard underlying metadata on the open Web.<sup>14</sup> Since then IRs have been embraced by the library community as a location for the practice of self-archiving to meet green OA requirements. The version of the archived document will depend on the author's agreement with the publisher; these versions can be separated broadly into the categories of working paper, submitted manuscript, accepted manuscript, and published article, although many other terms are used to describe articles in those four areas.

The success of an IR may depend on the rate at which faculty deposit their work in it and the ability of the institution to maintain high-quality metadata for the content that is deposited. Faculty members' participation in archiving their work depends on many factors, including their institution or funding organization's mandates, their field of study, and their awareness of or comfort with the legality of archiving a version of their published work. Robust metadata is required for the content stored in an IR so that it may be discoverable using internet search engines, such as Google Scholar. Unless they are affiliated with a specific institution, users are unlikely to seek out individual institutional repositories when conducting research. Therefore, the item-level indexing and metadata must meet standards, such as the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH), that enable a broader audience to find and use the archived content.

While IRs have become synonymous with green OA in the library community, they are not a realistic investment for all institutions. An IR requires

collaboration and cooperation between numerous institutional departments, such as the administration, information technology support, and library personnel. Depending on the institution, the funding of the IR may come from the library's budget or another institutional entity. Any involvement of library personnel in the maintenance of an IR requires, at a minimum, time, labor, and highly skilled expertise in areas of metadata and scholarly publishing. These requirements exclude many smaller or poorly funded institutions from supporting green OA via an IR, despite the interest or initiative of their personnel. Because institutional affiliation is typically a baseline requirement for depositing work in an IR, scholars who don't have access to an IR must either rely on a coauthor with IR access to archive their work, forgo the effort entirely, or seek out a disciplinary or alternative repository. Similarly, institutions that cannot afford an IR are likely to have less funding for licensed resources, which makes them all the more dependent on the green or gold OA activities of more wealthy institutions to access scholarly research.

## **SUPPORTING UNIVERSITY, NATIONAL, OR FUNDER OPEN ACCESS MANDATES OR POLICIES**

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As one means of encouraging the adoption of OA, librarians can support OA mandates. Mandates come from a variety of sources, including research organizations such as universities or departments, as well as funding agencies such as government entities, research centers, private companies, foundations, and nonprofit agencies. OA mandates differ in many aspects, depending on the funder, but all require the researcher to provide some type of OA to their research.

OA mandates from universities often require their faculty to deposit their scholarly output in the university's IR. This type of mandate is one of the major ways the Budapest Open Access Institute suggests scholarly research can be made freely available online.<sup>15</sup> Although depositing scholarly work in an IR often means the work is freely available, IRs differ in how aspects such as copyright retention and embargo periods are managed. Mandates may allow authors to restrict full access to their research for a period of time, or they may allow users to request the full text behind an institutional login. IRs typically have methods to accommodate specific mandate guidelines. Although restricting OA is not the optimal use of an institutional repository,

it does allow requesters access without fees.<sup>16</sup> Requiring researchers to self-archive or deposit their work in an institutional archive does not preclude the work from also being published in a journal, but it does depend on adhering to the license agreements of the journal, regardless of whether the latter is subscription-based or OA.

One flaw of institutional mandates is the lack of compliance by researchers. Rick Anderson states that institutional mandates in the United States are sometimes just statements of institutional preference.<sup>17</sup> Scholarly researchers who are reluctant to follow university mandates, whether due to lack of technical skills or to philosophical disagreement with such mandates, need additional support and encouragement to deposit their research in their institution's IR. Creating an incentive for faculty to provide OA to their research by connecting mandate acceptance to annual evaluations and the tenure process has been identified as a best practice.<sup>18</sup> Another problem inherent in many institutional mandates is the lack of a mandated time limit for the deposit to a repository.<sup>19</sup> Many institutional mandates do not specify a required deadline for the research to be deposited, thus allowing researchers to delay, forget, or passively resist the mandate altogether. Librarian support of these institutional mandates, from creation to compliance, can increase the rate of faculty submission and the overall growth of repositories. Patricia Renfro asserts that researchers and higher education leaders must pass OA mandates and support local institutional repositories in order to make OA the standard for scholarly communication.<sup>20</sup>

Institutional mandates that require the deposit of research into a repository are not an OA solution for all. Research from Deborah B. Henry and Tina M. Neville in 2017 shows that only 27 percent of master's-level institutions in the continental United States had a working institutional repository.<sup>21</sup> Researchers who work at an institution with an IR are a privileged minority. This represents an additional weakness in institutional mandates. Researchers may not be employed by a university or research institution with an IR, or they may not work for an institution at all. The ability to publish their research OA then requires a different solution. The promotion of OA options by librarians provides these researchers with a place to start when seeking alternative solutions.

Increasingly, OA mandates are required by the organization or entity from which researchers receive funding. Examples of funding agencies that

have OA mandates are the National Institutes of Health, the National Science Foundation, the Research Council UK, the European Commission, the Indian Council of Agricultural Research, and UNESCO.<sup>22</sup> Similar to institutional mandates, government and other funding agencies' mandates vary significantly. In addition to the variety found in the guidelines for depositing research, there is an array of possibilities in the type of OA required (green, gold, or otherwise), copyright guidelines, licensing, embargo periods, and sometimes even the option to opt out.

Funders can mandate that OA research be deposited in a specific repository and bypass the question of whether the author is employed by a university with a repository or employed at all. An example of this type of funder mandate is the National Institutes of Health, which requires research to be deposited in PubMed Central, a subject-based repository.<sup>23</sup> Even if the funder does not withhold payment, the threat of losing potential future funding from the institution due to not providing OA often increases the compliance rate.<sup>24</sup>

One of the funder mandates that has received wide debate recently is Plan S. Plan S is an OA mandate created by a group of international funding institutions called cOAlition S. The funding institutions involved include the Bill & Melinda Gates Foundation and the Wellcome Trust in the United Kingdom. Plan S mandates that all authors who receive funding through cOAlition S are required to publish their work in an OA journal. The journal can be fully OA, transitioning to OA, or willing to allow authors to simultaneously place their work in a repository. Some academics argue that restricting where they publish violates their academic freedom. An additional criticism of Plan S, and many other OA mandates, is the reliance on APCs. Requiring authors to pay to publish their work in an OA journal or repository creates the potential of OA literature featuring mainly privileged, university-affiliated authors, those who have the means or support to pay APCs. Bruno Augustini and Michael Berk believe that Plan S is likely to “hinder publication access to emerging scientific nations struggling for their space in the competitive scientific world.”<sup>25</sup> Although an APC-funded approach to OA is valuable in that it provides access to scholarly literature and research to everyone, it also serves as an obstacle to authors and researchers who lack the means to pay and who would potentially bring diverse experiences and viewpoints to the scholarly commons. Requiring APCs limits this outlook: “The policy cannot and will not improve or fix precarity, biblio-monoculturalism or the marginalization of minority



scholarships.”<sup>26</sup> Librarians can be part of the solution and work to make OA open to all researchers and authors, not just the privileged few.

As early as 2012, research from Jingfeng Xia et al. found that over 300 institutions, funding agencies, and other academic programs worldwide had policies in place that required their scholars to deposit their work in a repository or website to provide OA.<sup>27</sup> They compared repositories before and after mandates were introduced and found a significantly positive effect, documenting an increase in submissions at many institutional repositories. Furthermore, their research has shown that OA mandates are most successful when tied to funding and/or the promotion/evaluation process.<sup>28</sup>

Mandates require oversight to be successful; it is not enough for an institution or funding agency to require that research is made OA. Vincent Larivière and Cassidy R. Sugimoto analyzed 1.3 million papers that were required to be published OA due to funding mandates. They found that only two-thirds of those analyzed were OA.<sup>29</sup> OA mandates should include detailed guidelines that help researchers ensure that their research is made available. One way to increase the success of a green OA mandate is to require that articles be deposited into a repository at the time they are accepted for publication, rather than delaying OA until the article is published, or after an embargo period. Funders can also increase mandate compliance by requiring that research be openly accessible before payment is released. Universities with an IR can increase mandate compliance by integrating the repository into tenure and other review processes, specifically by only considering documents deposited in the repository in these evaluations.<sup>30</sup>

In spite of the flaws inherent in many institutional and funder mandates, each mandate represents a philosophical shift in the institution or funding agency. This shift lies in the value the institution accords to OA. While the requirements mandating OA are not always optimal, the attitudes and beliefs that OA should be required tend to support an increase in OA. Mandates help propel the Budapest Open Access Initiative’s concept of research being free, with unrestricted access for all.

Librarians are able to support mandates of any type in the same way they historically support their community: by providing access to information. This information should include the benefits of OA. Additionally, librarians can conduct outreach, not only about the importance of OA but also about specific mandates applicable to their community. Guidelines and recommendations



can be created for researchers to use when considering funder mandates or their own institution's mandates. Librarians should provide information to researchers about making their research OA and help researchers develop the skills needed to navigate OA publishing options. Librarians with collection responsibilities may have the option of supporting OA monetarily. Tony Horava says that one of the many challenges in supporting OA is selecting the initiatives that best align with our strategic principles and then supporting them with limited available funds.<sup>31</sup>

## **GUIDELINES FOR FINANCIALLY SUPPORTING OPEN ACCESS CONTENT, INITIATIVES, AND PLATFORMS**

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A recent survey on the impact of COVID on libraries found that institutions anticipated increasing their support for open initiatives in the coming year. Among the options surveyed—open infrastructure, open content initiatives, OA agreements, and supporting organizations—OA agreements saw the highest pledges of increases, with 54 percent of 114 respondents pledging to “increase somewhat” and 9 percent pledging to “increase significantly” their support.<sup>32</sup> This may be a surprise, given how often financially supporting OA is pitted against the seemingly competing priority of seeking to reduce costs, or at least minimize cost increases. There are indeed costs associated with scholarly publishing services, whether OA or not, but transparency about these costs is frequently lacking. Alexander Grossmann and Björn Brembs identify the costs of publishing, including submission, peer-review, publication, indexing, and archiving, and calculate costs ranging from less than \$200 to around \$1,000 for articles in journals with high rejection rates.<sup>33</sup> The disconnect between these projections and the staggering APC rate of over \$10,000 that *Nature* charges is perplexing and may suggest to some librarians that supporting OA is not sustainable or worth it.<sup>34</sup>

Many librarians have started to define the parameters around their institution's support for OA content, platforms, and initiatives. The impetus to define such guidelines may be prompted by a library's strategic plan, or by a broader institutional strategy to support and facilitate open scholarship, or it may even start with individual librarians who don't have the authority to change broader library or institutional strategies. This scalability highlights a benefit of approaching OA in this way; creating guidelines for how your library will

support OA in the future is something that librarians working with collections can reasonably implement, even with a minimal budget, minimal personnel, or limited buy-in from the library or campus administration.

Like the other opportunities discussed in this chapter, creating guidelines is a two-way street, with both librarians and content providers, publishers, and platforms articulating their support of OA and finding agreement based on shared mission and values. Guidelines may be written in various formats, as a list of values or principles, for a single library or an entire library consortium, and can relate to specific types of content or a specific OA model.

### Values

The University of Minnesota Libraries offers a list of “Values for Collections” that guides their work in building collections and responsibly stewarding their resources. These values are “(1) Alignment of collection development with the University of Minnesota’s mission, (2) Open and enduring access to information, (3) Partnerships and collaborations, (4) Innovative information, use, and interactions, (5) Economic sustainability, (6) Equity, diversity, and inclusion, and (7) Privacy.” Although OA may seem to be addressed explicitly only in the second of these values, it is actually reflected frequently throughout the list. The list is neither prescriptive nor comprehensive, which allows the librarians at the University of Minnesota to reflect on their values as they consider novel or complex collection issues.

### Individual Institution

Iowa State University has adopted “principles for advancing openness through journal negotiations” in which the university has prioritized OA sources, rejects nondisclosure language in agreements, and pursues “financially sustainable journal agreements.”<sup>35</sup> Curtis Brundy, the associate university librarian for scholarly communication and collections, noted the power libraries have in leveraging collections budgets “to incentivize publishers to advance open access. . . . Libraries can take what they were spending on subscriptions, and through open access agreements, can cover not only the read access but [the] publishing charges.”<sup>36</sup> Iowa State University has incorporated transformative agreements into its guidelines for supporting OA because these align with its articulated principles toward openness.

## Library Consortium or Coalition

The Coalition of Open Access Policy Institutions has outlined four principles that inform the OA support of member libraries:

- The immediate and barrier-free online dissemination of scholarly research resulting in faster growth of new knowledge, increased impact of research, and improved return on public research investments
- Developing and implementing institutional open access policies
- Sharing experiences and best practices in the development and implementation of open access policies with individuals at institutions interested in cultivating cultures of open access
- Fostering a more open scholarly communication system through cultural and legislative change at the local, national, and international levels<sup>37</sup>

Like the collection values articulated by the University of Minnesota and the principles for advancing openness at Iowa State University, these principles are not prescriptive and yet they provide member librarians with direction in opening their collections.

## Specific Content

Librarians may choose to fund OA collections that align with the needs of their local community. A librarian's decision to financially support that content may be due to the publisher's decision to move to an OA model, the local involvement of authors or editors, or the role of librarians in flipping the content to OA. There are several initiatives that support the goal of transitioning previously subscription-based content to OA. Librarians have been involved in both the Lyrasis Open Access Community Investment Program (OACIP) and Transitioning Society Publications to OA (TSPOA). Both OACIP and TSPOA work, sometimes in collaboration, to secure funding to flip subscription journals to fully OA.<sup>38</sup>

## LIBRARY SUPPORT FOR OPEN ACCESS PUBLISHING: SOME MODELS

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The number of OA publishing models continues to proliferate, creating opportunities for libraries to participate at various levels of funding. In addition to transformative models, which have already been discussed at length, some other options include:

- *Crowdfunding or community investment.* Crowdfunding has been leveraged to support OA monographs, journals, and digital collections and cannot be discussed as a single OA model. Generally speaking, it implies that money is raised from multiple parties to support some aspect of OA, whether that involves making previously published material available OA, publishing new content fully OA, or providing OA infrastructure or services.<sup>39</sup> The “Fund to Mission” campaign of the University of Michigan Press (UMP) announced in the spring of 2021: “UMP is seeking \$250,000 in annual funding from the library community to support their effort. This support is critical for its success, and as an alternative approach to subscribing or acquiring content, the Fund to Mission is an investment in re-envisioning humanities and social sciences infrastructure and scholarship.”<sup>40</sup> They argue that the transition to OA is positive for both libraries and researchers, and, importantly, “establishes a leadership role for your own library in the Open Access efforts.” Fund to Mission offers different cost tiers for libraries differentiated by library size and the amount of content to which libraries would have or retain access. Two other examples of initiatives that use elements of community investment to offer a sustainable framework for OA publishing are Direct to Open (D2O) and Publish as Open. “D2O moves professional and scholarly books from a solely market-based, purchase model to a collaborative, library-supported open access model.”<sup>41</sup> Supporters get term access to gated titles and can purchase specified materials at a discounted rate. In Publish as Open, a group of funders, primarily research institutions and libraries, directly supported the curation of a collection of OA e-books that is then freely available to all.<sup>42</sup>

- *Subscribe to Open (S2O)*. S2O leverages existing subscription systems and has much in common with traditional subscriptions, except that instead of funding a year of the status quo, the funders, who very often are previous subscribers, pledge their spend on making the designated year's content open to all readers. This model minimizes the risk to publishers and provides a familiar system and workflows for librarians.<sup>43</sup> For this model to work, libraries must offer continuous, and not just one-time, support. Such ongoing commitments may pose problems to libraries operating with flat or decreasing budgets. S2O subscribers may receive incentives beyond access to content.
- *Partnership or membership*. PLOS is one of many OA publishers that offer a variety of models, including direct billing, flat fees, community action publishing, and global equity, that allow institutional partners "to contribute to or eliminate Open Access publication fees at PLOS journals."<sup>44</sup>
- *Subscription with OA perks*. Publishers are increasingly offering OA publishing perks to their institutional subscribers. Elsevier recently entered into an agreement with the NERL Consortium that will open up five years of backfile content by authors affiliated with NERL institutions every year of the three-year agreement, thus flipping paywalled content to OA.<sup>45</sup> IGI Global has offered OA publishing fee waivers to library customers that subscribe to specified e-book or journal collections.<sup>46</sup> Several publishers offer discounted APCs to corresponding authors from institutions with a current subscription or site license.<sup>47</sup>

A variety of models have been proposed, and other ideas and approaches will continue to proliferate. The librarian Arthur Jason Boston recently proposed Read & Let Read as an alternative to Read & Publish transformative agreements. Boston evaluated the \$10.7 million agreement between the University of California (UC) and Elsevier to argue that "a total of \$5.5 million spent on \$2,449 APCs opens 2,246 UC-authored articles published by Elsevier to the global scholar system," whereas the same amount in a hypothetical Read & Let Read agreement would give "global researchers 11 million opportunities to download any Elsevier-published article of their choosing."<sup>48</sup> Boston suggests that providing expanded "just in time" access has more impact than converting fewer articles to OA. The proposed model does not seem to account for the fact

that once OA, those articles could be downloaded countless times by readers worldwide, thus significantly changing the equation. Nor does it contend with the principle some universities have articulated of enhancing their research profile by making their scholarly work open to all in perpetuity.

## OPEN ACCESS OPPORTUNITIES FOR ALL

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In this chapter, we document some of the current opportunities for libraries to formalize their support of OA publishing. We present opportunities within the scope of the librarian as information curator, developer, and access provider, and not just steward of institutional publishing practices. We make this distinction to include libraries of all sizes and budgets and not only those with the means or inclination to support OA publishing through institutional publishing platforms, which are costly both in terms of budget line items and the human resources required to maintain them. Libraries vary in their budgets, technological infrastructure, staffing levels, and missions. But this variety affords a broad array of possibilities for supporting OA in both principle and practice. There is no single path to opening scholarly communications, and we acknowledge that calculating the potential impact of your institution's support can be complex. We think that by embracing diverse approaches to OA and refining them as they go, librarians, publishers, and other stakeholders will ensure the success of their efforts toward openness.

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# Open Access Principles

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**PRINCIPLES STATEMENTS FOR OPEN ACCESS (OA) HAVE BEEN AUTHORED BY** advocacy groups, national and international agencies, library consortia, individual institutions or organizations, and individual libraries. Developing principles-based guidelines for when and how your library will support OA is a useful starting place for developing local practices in support of OA because it forces you as a librarian to articulate how and where OA aligns with your local collection needs and strategies. Of course, the process of writing principles to reflect organizational values is not limited to library collections or even to libraries. The mission and vision statements written by corporations and organizations are frequently coupled with a statement that speaks to the values and principles they espouse. The principles of an organization create a framework for decision-making and practices that enable the organization to realize its vision and mission. It is important to pair principles with practices, and those are the focus of the following chapter.

On January 30, 2020, the Wellcome Trust issued a statement on the importance of “sharing research data and findings relevant to the novel coronavirus (COVID-19) outbreak.”<sup>1</sup> This call to action asserted that access to data and scholarship related to COVID-19 was a life-or-death situation: “We call on researchers, journals and funders to ensure that research findings and data relevant to this outbreak are shared rapidly and openly to inform the public health response and help save lives.” Many of the top commercial publishers, including Elsevier, SAGE, Springer Nature, Wiley, and Wolters Kluwer,

appear as signatories to this statement, confirming that they “agreed to make all of their COVID-19 and coronavirus-related publications, and the available data supporting them, immediately accessible in PubMed Central (PMC) and license it in ways that facilitate reuse.”<sup>2</sup> The terms to which these publishers, and many others, agreed included:

- All peer-reviewed research publications relevant to the outbreak are made immediately open access, or freely available at least for the duration of the outbreak
- Research findings relevant to the outbreak are shared immediately with the WHO upon journal submission, by the journal and with author knowledge
- Research findings are made available via preprint servers before journal publication, or via platforms that make papers openly accessible before peer review, with clear statements regarding the availability of underlying data
- Researchers share interim and final research data relating to the outbreak, together with protocols and standards used to collect the data, as rapidly and widely as possible—including with public health and research communities and the WHO
- Authors are clear that data or preprints shared ahead of submission will not pre-empt its publication in these journals

Some of the signatories did not, however, uphold all of the principles to which they agreed.<sup>3</sup>

COVID-19 related research and data have nonetheless been made much more open than other issues of global concern. This expanded access to scientific data and information about COVID-19, albeit for a short period of time and with several significant limitations, revealed the promise of taking a principles-based approach to OA. By asserting that unfettered access to research has very real consequences for the health and safety of individuals worldwide, the Wellcome Trust was able to leverage its influence as a funding agency to assert that this information should be freely available. These principles—essentially that publications be OA, data be shared, and researchers not be penalized for sharing preprints before the work is published in a journal—were shaped by the dire needs of a global health crisis. The ongoing pandemic has highlighted

that there is enough money being invested in scholarly communications, especially within biomedical research, to facilitate access for all. Recent research asserts that a transition of existing scholarly journals from subscription to OA could be realized “within the framework of currently available resources.”<sup>4</sup>

Librarians and numerous other stakeholders would do well to take stock of their individual and collective investments in scholarly communications and consider what they can learn from this situation to reimagine a more open future. Libraries have traditionally paid for subscription-based content, and more recently some have contributed financially to OA publishing. Libraries also pay to preserve and house print and digital scholarship. Institutions pay the salaries of researchers and provide many research resources. Currently, some institutions directly subsidize OA publishing. Funders have paid researchers and/or their institutions to incentivize innovation and advance knowledge, and recent funder mandates have required and subsidized OA publishing. Some researchers have even used their own money to pay for OA publishing. Publishers have traditionally charged large sums of money to facilitate review processes and edit, publish, and disseminate scholarship using the unpaid labor of researchers as authors, reviewers, and editors. Table 3.1 spells out some of the costs of scholarship broken out by who pays.

When the costs of scholarship are considered holistically, as in table 3.1, it is clear that publishers are making out quite well. The scholarly communication system is broken along the very principles that are integral to the purpose of libraries and academia: inquiry and the production and dissemination of knowledge. To reimagine their collections for the twenty-first century and beyond, librarians will need to collaborate with their communities and other stakeholders in the scholarly communications landscape to understand and articulate the principles that will guide collection-building into the future.

In this chapter, we explore several principles statements to consider their strengths and weaknesses, identify common themes, and offer takeaways. The chapter’s organization narrows from global to local, beginning with the principles statements of national, regional, and international agencies. It then looks at the statements of several advocacy groups, moves on to library consortia, discusses individual institutions and consortia, and concludes with individual libraries or library departments.

**TABLE 3.1**  
**Costs of scholarship by payer**

<b>Costs of Scholarship</b>	<b>Paid by</b>	<b>Notes</b>
Traditional (read) subscriptions	Library	The proportion of library collection budgets dedicated to serial subscriptions continues to grow. OA costs are additional.
Transformative (Read & Publish) agreements	Library/ Institution	Transformative agreements aim to avoid double-dipping by approaching all costs centrally.
Print preservation	Library	Off-site storage and shared retention programs ensure availability, but at a cost.
Digital preservation	Library	Portico and similar services are costly and ongoing.
Article Processing Charges (APCs)	Funding Agency/ Institution/ Library/ Researcher	Ranging in cost from \$0 to \$12,000, APCs are an obstacle and waivers are burdensome.
Researcher salaries	Institution/ Funding Agency	Many academics are paid, at least in part, to conduct research.
Institutional repository (IR)	Institution/ Library	Even if open source software is used, administering and managing the IR is costly.
Editorial/Review processes	Publisher	Editors are frequently paid only a small stipend. Reviewers are most frequently not paid.
Print publishing/ Shipping	Publisher	Print publishing and shipping costs are decreasing.

## NATIONAL, REGIONAL, AND INTERNATIONAL AGENCIES

The European Union has articulated a set of principles for the future of scholarly communication.<sup>5</sup> A summary of each of the ten principles follows:

- *Maximizing accessibility* speaks to the discoverability, accessibility, and shareability of research. It also raises the issue of information overload and highlights the potential for acknowledging the quality and relevance of content as well as the potential to remove financial, legal, and technical barriers to access.
- *Maximizing usability* demands that scholarly outputs, including their data, be usable and machine-readable. The freedom to use, share, modify, and reuse individual items and collections of content requires an open infrastructure of interoperable tools. Restrictions should be limited and preservation ensured.
- *Supporting an expanding range of contributions* implies that “data, associated materials and other research contributions would be registered, certified, disseminated, preserved, and evaluated on the same footing as formally published texts reporting on research findings.” This would contribute to open commenting, testing, and revision, which in turn can facilitate research community-building.
- *A distributed, open infrastructure* facilitates the reading and knowledge production needs of researchers. Distribution ensures that there is not a single point of failure or a single dominant organization, while openness facilitates responsiveness and innovation.

**FIGURE 3.1**  
European Union, “Future of Scholarly Publishing and Scholarly Communication”

Maximizing accessibility	Community-building
Maximizing usability	Promoting high-quality research and its integrity
Supporting an expanding range of contributions	Facilitating evaluation
A distributed, open infrastructure	Promoting flexibility and innovation
Equity, diversity, and inclusivity	Cost-effectiveness



- *Equity, diversity, and inclusivity* acknowledges the “possibility for anyone to contribute to the production of scientific knowledge irrespective of ethnic background, religion, or political beliefs, but also gender and other potential sources of discrimination.” This principle suggests that incentives, policies, and practices be implemented to ensure equal opportunities in the production, dissemination, and use of knowledge among those currently underrepresented.
- *Community-building* is essential to research. “A distributed knowledge network depends on continuing and vigorous discussions as different individuals and groups approach questions and problems in different ways. Effectiveness and speed of communication within and between research communities are vital to both cooperation and competition, and there should be no barriers to rapid and effective research communication.”
- *Promoting high-quality research and its integrity* “ensures that research meets community-agreed standards of quality and integrity.” Peer review is now expected to target not only scholarly rigor, novelty, and impact but also transparency, fairness, and the avoidance of bias or conflicts of interest. Pre-publication peer review is called out for delaying the sharing of findings, peer reviewers should receive recognition, and scholarly outputs should include a record of versions, not merely a version of record.
- *Facilitating evaluation* means that evaluation should be transparent and fair, frequently reviewed and updated, encompass all research contributions, be aware of different processes in different disciplines and kinds of research, and should be diverse, including qualitative as well as quantitative methods.
- *Promoting flexibility and innovation* demands “a regular flow of new experiments and new entrants; and members of different research communities would be engaged in ensuring that value and effectiveness, scalability and sustainability are tested fairly and transparently.” What works for one discipline may not work for another, and a balance between individual needs and standardizing processes should be sought.
- *Cost-effectiveness* “is a key issue for all the actors in scholarly communication, and for the health of the whole ecosystem: income for service

providers—whether public, not-for-profit, or commercial organizations—are costs for other actors, who need to be able to sustain them.” Costs and revenues should be transparent, the services received for the costs should be clear, and “research funding schemes would be designed to support experimentation and an enhanced range of services to meet the changing needs.”

These principles broadly articulate an ideal future of scholarly communications in the European context. The Plan S principles discussed in the next section articulate very specific requirements that largely target OA publishing in the European context.

### **The Plan S Principles**

Plan S is an OA initiative supported by the cOAlition S funders, a group of national research funders, European and international research organizations, and charitable foundations. Plan S is implementing its principles in tandem with the European Commission and the European Research Council: “With effect from 2021, all scholarly publications on the results from research funded by public or private grants provided by national, regional and international research councils and funding bodies, must be published in Open Access Journals, on Open Access Platforms, or made immediately available through Open Access Repositories without embargo.”<sup>6</sup>

The principles include some specific criteria. They call for authors (or their institutions) to retain copyright and to publish their works with an open license (preferably CC BY). Funders are to define the services that OA platforms and services must provide and incentivize new OA venues and infrastructure when these are not currently available. OA fees are to be paid by funders or institutions so that all researchers can publish OA. Publishers should charge publication fees that are transparent and commensurate with their labor.

Stakeholders including “governments, universities, research organizations, libraries, academies, and learned societies” should work collaboratively toward transparency and the standardization of practice and strategies.<sup>7</sup> The following portion of the Plan S principles speaks to specific formats and models. There is an acknowledgment that it will take longer and require separate processes to make monographs OA. Although the funders do not support hybrid OA models in the long term, they will fund publishing in hybrid

journals in the short term as a transition to full OA. The principles indicate that funders have the responsibility to track the compliance of funded projects and sanction grantees who are not in compliance. Funders further commit to evaluating research outputs on the merit of the work and not the venue in which it was published.

The significance of the Plan S principles is that they are tied to the large number of Plan S funders and to the mandates that will ensure adherence to the principles. Plan S funders include the European Union, around twenty national agencies, the World Health Organization, Wellcome, the Howard Hughes Medical Institute, the Bill & Melinda Gates Foundation, and many other large organizations. As the principles are implemented, the proportion of OA publications in scholarly journals published by major publishers will continue to grow.

### **Global Research Council**

The Global Research Council allows the heads of science and engineering funding agencies to work toward OA by adhering to shared principles. The council's principles speak primarily to the responsibilities of research councils to researchers. Research councils will (1) encourage OA for publicly funded research resulting in journal articles; (2) provide education to researchers on the varieties, benefits, and importance of OA; and (3) support OA, copyright retention, OA policies, and other mechanisms by which research will be made openly accessible to all. The Global Research Council's principles are open and provide research councils with the flexibility to address individual challenges while still promoting OA education, infrastructure, and publishing. Understanding that the principles are not actionable, the council notes that "individual policies that are based upon these principles will need to be re-evaluated on a regular basis to possibly modify and further improve them. Such re-evaluation is likely to involve a number of stakeholders, just as the development of this Action Plan has involved many stakeholders." The principles outlined by the council emphasize author rights, OA education, and broadly support OA; and given the council's constituency, it makes great sense that the focus of the principles would not be on licensing terms, preservation, or infrastructural considerations.

## Dutch Research Institutions: Guiding Principles on Management of Research Information and Data

The Dutch Research Institutions frame their guiding principles around research data outputs and the data surrounding those outputs. These principles are driven by the goal to make all data, including metadata, open for access and reuse using community-owned governance. The general principles were crafted to inform the Dutch Research Institution members' collaboration with commercial vendors. The six guiding principles are (1) "ownership of (meta) data," which asserts that authors and institutions own their research output and related metadata; (2) "enduring access," which demands the long-term and ongoing availability of research data with no "functional, technical, legal or financial limitations"; (3) "trusted and transparent provenance," which means that metadata must come from transparent and trusted sources and those sources should be clearly labeled; (4) "interoperability as part of community-owned governance," which highlights the need for a decentralized and interoperable infrastructure; (5) "open collaboration with the market," which notes the value that vendors can add throughout the research life cycle in enhancing innovation and competition; and (6) "community-owned governance," which reiterates that although the data and infrastructure are owned by authors and institutions, it requires a sustainable decision-making process among stakeholders throughout the research community.<sup>8</sup>

*Range of approaches.* As is obvious by now, diverse groups of international and national agencies have written principles to articulate their values in relationship to OA. One benefit of defining principles at this level is the coordination it lends to distributed participants. Even when principles are not actionable, having a shared set of values provides direction for individual librarians or institutions. There is a range of approaches within the principles examined in this section. The European Union's "Future of Scholarly Publishing and Scholarly Communication" describes an ideal future, the Plan S principles more specifically outline mandates for OA compliance, and the Dutch Research Institutions focus their principles on negotiations with commercial vendors.

*Consider your context.* A coordinated approach to OA may feel like a distant dream. The European Union's centralized and integrated infrastructure, mandates, and support far exceed those available elsewhere. A potential takeaway

for librarians working outside of the European context might be to deconstruct these robust and complex statements to isolate and identify principles that can be prioritized one at a time. OA is an incredibly complex phenomenon, and “all or nothing” thinking will limit progress. Instead of focusing on what you cannot do given the limitations of your organization, identify one principle that resonates with the needs of your community and start there.

## ADVOCACY GROUPS

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### FORCE11

FORCE11 is a group of scholars, librarians, archivists, publishers, and research funders that advocate for improved knowledge creation and sharing. FORCE11’s brief “Principles of the Scholarly Commons” are paired with rules to which participants in the commons must agree. The principles themselves are broad and conceptual: “(1) The scholarly commons is an agreement among knowledge producers and users; (2) research and knowledge should be freely available to all who wish to use or reuse; and (3) participation in the production and use of knowledge should be open to all who wish to participate.”<sup>9</sup> These principles prioritize consensus, openness, and inclusivity and are fleshed out with brief explanations of the scope or meaning of each principle. The second principle, for example, includes two notes: “The commons is open by default; scholarly objects and content in the commons are FAIR: findable, accessible, interoperable, and reusable by humans and machine.”<sup>10</sup> The principles are broadly written, and even the supplemental notes do not specify how individual librarians, publishers, or funders can align their practices with them. By keeping its principles short and open, FORCE11 unites a potentially large group of stakeholders around the values of agreement, openness, and inclusivity.

### Coalition of Open Access Policy Institutions

The Coalition of Open Access Policy Institutions (COAPI) is a group of over 110 institutions across North America that have committed to uphold a set of shared principles.<sup>11</sup> COAPI is part of the Scholarly Publishing and Academic Resources Coalition (SPARC) and shares its goal of working “to enable the open sharing of research outputs and educational materials in order to democratize access to knowledge, accelerate discovery, and increase the return on our investment in research and education.”<sup>12</sup> The four COAPI principles speak to

the publishing practices of individuals, the policies articulated by member institutions, the development of best practices surrounding all aspects of OA, and opening scholarly communications through cultural and legislative change. The four principles are:

- The immediate and barrier-free online dissemination of scholarly research resulting in faster growth of new knowledge, increased impact of research, and improved return on public research investments
- Developing and implementing institutional open access policies
- Sharing experiences and best practices in the development and implementation of Open Access Policies with individuals at institutions interested in cultivating cultures of open access
- Fostering a more open scholarly communication system through cultural and legislative change at the local, national, and international levels<sup>13</sup>

Apart from the call for “immediate and barrier-free online dissemination,” these principles do not articulate timelines or mandate any specific actions. The principles are also relatively brief and open-ended, which provides flexibility in how member institutions interpret them for their local constituents. This flexibility may be useful when working to unite larger and more disparate kinds of libraries to support OA. Flexibility is likely especially helpful outside of the European Union, which has developed more comprehensive and systematic support for OA publishing.

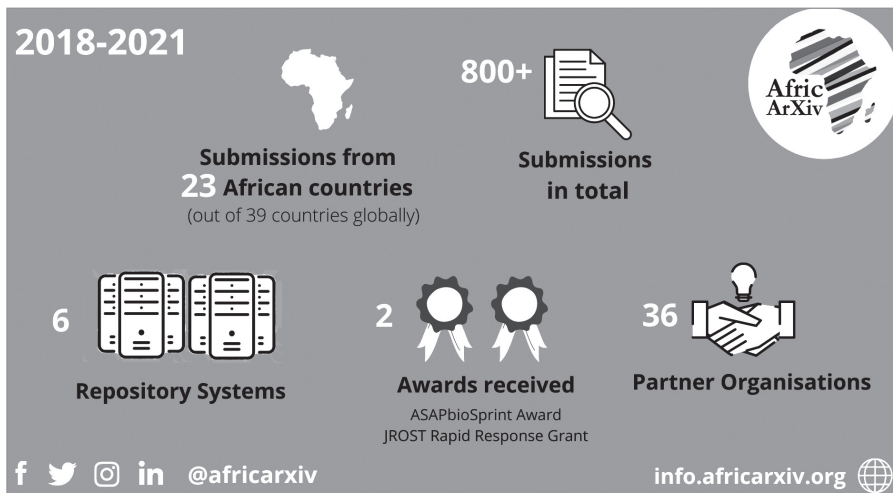
### **AmeliCA and Redalyc Principles and Values**

AmeliCA provides communication infrastructure for scholarly publishing and open science. Although it began with a focus on Latin America and the Global South, it has more recently expanded to work globally.<sup>14</sup> Redalyc is a network of noncommercial OA journals based at the Autonomous University of Mexico State. AmeliCA and Redalyc jointly issued a statement of principles and values that inform their work to promote noncommercial, OA journals from Latin America. The ten principles emphasize the benefits to society that research holds and emphasize that public funding makes this research a common good and universal right; this is core to their understanding and support of OA publishing.<sup>15</sup> They promote “academy-owned non-profit non-subordinate” as the

path forward, and one that allows for diversity in journals, respect for disciplinary dynamics, and “sustainability by means of cooperative work schemes and a horizontal distribution to cover costs.”<sup>16</sup> The principles call for responsible metrics and the evolution of research assessment but provide little detail on approaches to either. More specific principles include stipulations for authors to retain copyright and for journals to remove embargos. The differences in the specificity of these principles likely highlight the tension between problems for which there are existing solutions and challenges for which best practices have not yet been established.

### AfricArXiv

AfricArXiv is a community-led archive for research about Africa and/or by African scholars. The archive’s “African Principles for Open Access in Scholarly Communication” stipulate that research outputs, including data, from or about Africa will be free to access and use through a repository or an explicit OA license.<sup>17</sup> The principles also emphasize linguistic considerations, namely that African research outputs “should be made available in the principal common language of the global science community as well as in one or more local African languages.” The diversity of Africa’s large geographic area, indigenous and traditional knowledge, and the academic disciplines is also highlighted:



**FIGURE 3.2**  
**AfricArXiv 2018–2021**



“indigenous and traditional knowledge in its various forms . . . diverse dynamics of knowledge generation and circulation by discipline and geographical area . . . regional diversity of African scientific journals, institutional repositories and academic systems.” The final principles speak to the importance of collaboration and cooperation to facilitate participation: “Economic investment in Open Access is consistent with its benefit to societies on the African continent—therefore institutions and governments in Africa provide the enabling environment, infrastructure and capacity building required to support Open Access.” The final principle calls for ongoing communication with partners worldwide.

### **Draft of Shared Principles for Transformative OA Agreements between Consortia/Libraries and Smaller Independent Publishers**

The principles statement drafted in a report prepared for cOAlition S and the Association of Learned and Professional Society Publishers is more specific than most of the principles documents discussed in this chapter.<sup>18</sup> This is likely due to its objective of measuring progress on OA and its focus on OA agreements between smaller independent publishers and libraries or library consortia. The principles call for an “explicit acknowledgment that the OA agreement is a mechanism for transition with the aim for the publisher to shift to full Open Access over time.”<sup>19</sup>

The principles address costs and prioritize cost neutrality: “Overall institutional expenditure to the publisher [is] to be neutral or lower than current subscription + APC and other publishing expenditure combined” based on publication numbers from previous years and not estimates.<sup>20</sup> This does allow for inflation-linked increases commensurate with services provided but requires that publishers comply with Plan S price transparency requirements. There are allowances for agreements made with a consortium, which indicate that the consortium is free to allocate costs among its member libraries. Specifying that the institution “that employs the corresponding author will be responsible for the costs of publishing that article OA” is not unreasonable, but it certainly poses challenges for unaffiliated and other under-resourced scholars.

Some of the principles leave room for interpretation, such as “differential geographic pricing based on means.” Other principles, however, are quite



specific, such as “Unlimited OA publishing with no article number caps in hybrid titles, or if there is a cap then authors, with consent of the publisher, need to be able to make their accepted manuscripts available publicly with no embargo under a CC-BY licence.” Another principle states: “Authors to retain copyright, and their articles to be published under a CC-BY licence. [There are sometimes reasons, as acknowledged in Plan S, that CC-BY-SA licences could also be used, or CC-BY-ND may be agreed in exceptional circumstances by cOAlition S funders.] Third-party content such as images or graphics is often included under a separate form of licence and this should be clearly labelled.”<sup>21</sup> Although there is no mention of a nondisclosure agreement, the principles specify that agreements should be publicly shared. The administrative burdens of preparing and implementing agreements are cited as a reason why agreements should last for two or more years. Preservation is also addressed by acknowledging post-termination access for “read” content, the availability of archival content to the institution or consortium, and the availability of OA in perpetuity and under a liberal CC license.

This principles statement is notable for representing the perspective of smaller publishers and for its level of detail and specificity in approaching costs, author rights, and licensing. It reads like a list of best practices or recommendations, especially in comparison to the open-ended principles of FORCE11 and other advocacy groups.

Generally speaking, the principles statements of advocacy groups focus on the unique needs and goals of their constituents, but they vary considerably in how comprehensively and granularly they are written. The ways in which principles are written speak not only to the values of an advocacy group but also suggest the challenges they have encountered and the priorities they have established.

*Be your own advocate.* As you craft a principles statement, you can draw inspiration from these advocacy groups. Consider the specific problems you are attempting to address and which stakeholders you are attempting to unite with your principles. Thinking about both historic challenges and future aims can be instructive in writing principles that will empower your group to move forward productively with respect to OA.



**FIGURE 3.3**  
**LIBER's Open Access Principles for Negotiations with Publishers**

## LIBRARY CONSORTIA

### LIBER

LIBER, an association of European research libraries, has developed “Five Open Access Principles for Negotiations with Publishers” (figure 3.3).<sup>22</sup> Importantly, the principles were devised for the shift from a reader-pays (subscription) model to an author-pays model. The first principle calls for Read & Publish costs to be addressed in new license agreements and calls out publishers for double-dipping (receiving payment via both APCs and subscriptions). The second principle indicates that if an OA publishing agreement cannot be reached, libraries will not accept future price increases on their subscriptions. The third principle demands that OA agreements paid for with public funds be openly available; nondisclosure agreements will not be allowed. The fourth principle speaks to the importance of perpetual access and libraries’ long-term access to content. The fifth principle addresses the need for libraries to receive usage reports, similar to those that are routinely provided for subscription content.

These principles focus specifically on the transition from subscription agreements to transformative agreements. The principles are unusual, however, in calling out double-dipping and tying cost increases to whether an agreement is reached that includes OA. The rejection of nondisclosure

agreements and the requirement for perpetual access are not uncommon but nonetheless reiterate the unique role of libraries in the scholarly communications sphere, both for their responsibility to preserve content and to negotiate collectively with commercial vendors. The call for OA usage information has largely been addressed in the most recent release of COUNTER. The COUNTER 5 reporting standard uses the `Access_Type` attribute to distinguish between OA and controlled access.

### **The Greater Western Library Alliance**

The Greater Western Library Alliance (GWLA) is a consortium of research libraries throughout the United States. Their licensing principles are “grounded in the core values of transparency, sustainability, and equity and in support of open and collaborative scholarship . . . [and] reflect our minimum expectations for our licenses and agreements with publishers and vendors.”<sup>23</sup> The principles are divided into sections on sustainability and transparency, access and privacy, and supporting scholarship—which includes interlibrary loan, scholarly sharing, and OA.

Sustainability refers to “transparent, fair, reasonable, and understandable pricing” that reflects budgetary realities. Transparency stipulates that agreements should not have nondisclosure or confidentiality clauses; this is an important consideration in ensuring that libraries have access to the same information as the publisher. Access speaks to compliance with the Americans with Disabilities Act and all other regional or local requirements for accessibility. Privacy requires vendors to protect personally identifiable information and adhere to laws and mandates for the collection and use of personally identifiable information. License agreements must support interlibrary loan and the sharing of individual articles for scholarly research use. The statement on OA asserts: “Knowledge belongs in the commons. GWLA libraries support the worldwide endeavor to further knowledge and discovery through open scholarship. GWLA libraries will work with vendors to investigate and offer various paths to securing open dissemination of research output.”

*Consortial considerations.* It can be challenging to articulate principles that work equally well across many institutions or those that have traditionally enjoyed autonomy in their collections processes. The Big Ten Academic Alliance (BTAA), for example, has historically opted to support OA via individual institutional repositories: “In 2006, Provosts of the Big Ten Academic

Alliance publicly endorsed congressional passage of federal legislation (the Federal Research Public Access Act) that would mandate deposit of federally funded research findings in an openly accessible repository.”<sup>24</sup> More recently, however, the BTAA has entered into several Open Scholarship Agreements.<sup>25</sup> This emphasizes that no single approach to OA can be taken and that multiple approaches, whether old or new, can coexist.

Library consortia that articulate principles related to OA often do so in the context of licensing negotiations. One of the primary purposes of library consortia is to license content collectively in order to realize cost savings and minimize administrative work for member libraries. OA publishing has added complexity to licensing agreements and, in some instances, highlighted disparities among member libraries that have mechanisms in place to support OA publishing, such as APC subvention funds, and those that do not. The degree to which OA is a focus of the library consortium must be left to its membership, but the consortium does have a role in providing learning opportunities for librarians who have previously been unable to support or engage with OA.

Working collectively in a consortium creates both opportunities and challenges. Librarians writing principles would do well to think through the advantages and disadvantages of writing principles beyond their immediate or local context. How influential is your library in your consortium, and how does your budget compare to that of others in the consortium? How engaged are participating librarians, and what is their current interest level in OA? Involving more libraries (and librarians) in the process will likely increase the pressure that can be exerted on publishers. It will also, however, necessitate that principles be written more openly to accommodate the diverse needs and practices of all, and principles will have to be reviewed more frequently to revise language that may no longer be serving the whole.

## INDIVIDUAL INSTITUTIONS OR ORGANIZATIONS

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### **Massachusetts Institute of Technology**

The Massachusetts Institute of Technology (MIT) has ratified principles for open science.<sup>26</sup> These principles allow the entire MIT community to work collectively to affirm “that control of scholarship and its dissemination should reside with scholars and their institutions.”<sup>27</sup> The principles speak to author rights, including copyright retention and reuse rights; reader rights, making

MIT-authored work freely available to all; availability of open data, including openness to computational analysis; and rights to share research throughout its life cycle with no restriction or penalty, including posting preprints, data, or code to an open repository. These principles support the institutional mission to disseminate local research and scholarship as broadly as possible. They are paired in the recommendations of the Ad Hoc Task Force with recommendations for policy, infrastructure/resources, and advocacy/awareness.

### **The University of California System**

The University of California, through its University Committee on Library and Scholarly Communication, issued a “Declaration of Rights and Principles to Transform Scholarly Communication.”<sup>28</sup> This list outlines eighteen demands: “no copyright transfers, no restrictions on preprints, no waivers of OA Policy, no delays to sharing, no limitations on author reuse, no impediments to rights reversion, no curtailment of copyright exceptions, no barriers to data availability, no constraints on content mining, no closed metadata, no free labor, no long-term subscriptions, no permanent paywalls, no double payments, no hidden profits, no deals without OA offsets, no new paywalls for our work, and no non-disclosure agreements.”

This “Declaration of Rights and Principles” tells publishers what is important to faculty members in the University of California system. It helps that this document was unanimously endorsed by the faculty senate. When publishers try to work around the library and talk directly to researchers and teaching faculty, it becomes incredibly important to show that the library is on the same page of the institution and its faculty. This statement is unique in calling out problems from faculty perspectives, especially the critique of free labor. Librarians interested in making inroads toward OA publishing agreements, mandates, or practices at the institutional or university level would do well to discuss their concerns with teaching faculty.

*Institutional knowledge.* One takeaway for librarians is that OA principles must align with the mission, vision, and values of the institution. Principles are more likely to be adhered to if they have buy-in from those most thoroughly invested in them. In the case of academic libraries, this means that publishing faculty and researchers must participate and provide input. If you do not have formal opportunities to engage faculty via shared governance, such as a faculty senate library committee, find ways to casually engage faculty on the

topic, listen to their needs, and solicit their input on potential approaches to OA.

## INDIVIDUAL LIBRARIES OR LIBRARY DEPARTMENTS

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### University of Washington

In its statement “Sustainable Scholarship,” the University of Washington (UW) Libraries asserts that “UW research attains its greatest impact on our most pressing global challenges when we advocate for open, public and emerging forms of scholarship. We strive for transparent and transformative models that create collaborative and long-term solutions for sustainable scholarship. Our values of sustainability, equity and user-centeredness shape our approach to publisher negotiations.”<sup>29</sup> The document details how UW has dealt with changes in collection development in light of the unsustainability of big deals and inflationary publisher pricing. It also shows how the library is working with the Faculty Council to share information and receive feedback from the faculty and the UW community. This is an important similarity to the work at the University of Minnesota and MIT: discussions surrounding OA publishing must include institutional authors and researchers, and OA principles may be most effective when endorsed by faculty.

### University of Minnesota, “Values for Collections”

The University of Minnesota Libraries’ “Values for Collections” statement frames the various considerations librarians make when negotiating contracts, investing in collections, and making decisions about or evaluating collections. These principles have been endorsed by the Senate Library Committee and “provide the basis for determining and implementing policies, processes, and tools used in the evaluation and decision-making around new and ongoing investments.”<sup>30</sup> The summarized values are as follows:

- *Alignment of collection development with the University of Minnesota’s mission* prioritizes the role of collections in research and discovery, teaching and learning, and the outreach and public service missions of the broader university and also emphasizes unique materials, especially those related to special and archival collections.

- *Open and enduring access to information* refers to making content available over the long term to local users and the public. Licenses should allow “searching, remote access, viewing, printing, saving, scholarly sharing, text or data mining, integration with course materials, and sharing via interlibrary loan, as well as the ability to exercise all rights granted under United States copyright law.” Licenses should also be free of digital rights management, accessible to all users as required by law, and include perpetual access through a reliable archiving service.<sup>31</sup> The Big Ten Academic Alliance’s “Library E-Resource Accessibility - Standardized License Language” informs the values and practices enunciated in this part of the statement.<sup>32</sup> This value also addresses the university’s support for OA publishing and mentions new content through digitization and library publishing and OA “initiatives that are relevant to our collection priorities.” “We prioritize programs that go beyond simply making individual articles available openly.”<sup>33</sup> The university’s libraries value OA programs that are transparent, ethical, collaborative, and academy-owned, and they are also exploring transformative agreements: “Libraries prefers making agreements with partners who have a proven track record of providing fully open access content (libre and gratis) or who are implementing a clear plan to move toward full open access.”<sup>34</sup>
- *Partnerships and collaborations* acknowledges that no library can single-handedly acquire and preserve everything. The University of Minnesota Libraries collaborates with organizations that share these values by negotiating e-resources collectively, collaborating to provide access to collections, and coordinating shared print retention and preservation responsibilities.
- *Innovative information, use, and interactions* requires the libraries to identify and evaluate new services and resources related to information, teaching and research, publishing, author rights, and information adaption.
- *Economic sustainability* highlights the efficiencies and cost savings the libraries deliver to the campus “through the centralized, campus-wide acquisition and licensing of collections.”<sup>35</sup> Economic sustainability requires that vendors be transparent and responsive, provide metadata, and facilitate discovery of their resources. Specifically, “sustainable



pricing practices include reasonable absolute price changes that do not exceed the Consumer Price Index and valid rationales for price increases.” The libraries “resist unsustainable business practices such as the proliferation of new journals or creation of mirror journals.”<sup>36</sup> Sustainability also speaks to physical space constraints; strategies for this include “transitioning some content from print to digital formats, shifting content to off-site storage facilities, and deaccessioning some materials.”

- *Equity, diversity, and inclusion* emphasizes that collections will “reflect the broad scope of intellectual, cultural, educational, and research interests of its users and communities.” The libraries will pursue a variety of methods to address collection gaps and allow for community input.
- *Privacy* indicates that the privacy of users is integral to the university’s mission, yet they also note the tension between privacy and innovation. The libraries will “limit the amount of user information that is collected, monitored, disclosed, and distributed” and will also “expect vendors and publishers to fully comply with federal and state laws and university policy; seek user consent to collect personal information; and not disclose this information to third parties.”

The University of Minnesota Libraries’ “Values for Collections” is one of the few principles documents written specifically about library collections. This document provides a precedent for a grassroots approach to OA principles. Although the University of Minnesota has articulated principles at the library level that speak to OA, its library collections are specialized enough that a separate document on the topic of OA is merited.<sup>37</sup> This document, “Towards Open Access,” provides a model for librarians at institutions where upper-level administrators have not yet embraced OA. Librarians can work with colleagues to define principles for collections, scholarly communications, reference, and access services, and begin to realize these through documented practices.

*Take a grassroots approach.* An important takeaway is that principles can be approached from the ground up. Writing principles for your department, informed by the mission and vision of the broader institution, allows you to work within the known parameters of your responsibilities and expectations.



As your principles are formalized and adopted, it is also important to find a place for them to live. Publishing your OA principles alongside the mission, vision, and values of your library or organization reiterates their importance and signals the importance of keeping principles updated along with your organization's other key documents.

## PRINCIPLES IN PRACTICE

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Articulating your library's principles and values can shape your collections in meaningful ways. We acknowledge, however, that principles alone are not enough. Principles are not actionable and on their own, they will not allow a library to support OA content through its collections. Principles do not speak to the daily activities of library workers in making collections discoverable and accessible. To that end, the documentation of practices to support OA access and discovery via library collections must be encouraged. Chapter 4 delves into best practices for the processes and workflows that any library can utilize to promote the integration, discovery, and access of OA collections.

## BEST PRACTICES FOR PRINCIPLES STATEMENTS

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- *Align with the principles of your parent organization.* A library's principles must reflect those of the community it serves. If openness is not written into the principles or values of your broader institution, facilitate conversations about the desirability of elements of openness. OA cannot be imposed up the chain.
- *Be flexible.* The OA landscape is complex and OA models continue to proliferate. A principles document that is prescriptive and does not allow for the transitional nature of your current environment may be abandoned eventually.
- *Consider how the principles can be made actionable and measurable.* As the principles are drafted, consider what practices will bring them to life. The way the principles are written will have implications for their success. Consider how actionable principles will be measured for success.
- *Decide the focus of your principles.* You may focus principles on OA negotiations, OA content or collections, OA broadly speaking, open science, or some other area. The variety of principles statements reviewed in this

chapter suggests that there is no correct answer to the question of how to focus your principles. The focus should reflect the needs and values of your library and parent organization.

- *Exclude nonessential principles.* Principles statements that include too many details may be hard to realize. Ensure that every point included is essential to stakeholders.
- *Find advocates and allies.* In addition to aligning your principles with those of your parent organization, find influential and vocal allies throughout the organization who espouse the same principles and can help ensure buy-in.
- *Global and local.* Consider how your principles align with those of any consortium of which your library is a member and how they will align with your library's existing programming and services.
- *Highlight local scholarship, collections, and creative outputs.* Consider how your principles can be crafted to promote the openness and impact of your immediate community.
- *Invest in community-owned infrastructure.* Many principles documents focus on negotiations with commercial vendors. OA publishing presents opportunities for libraries, authors, institutional partners, and nonprofit stakeholders to take back control of their institutional work, labor, and resources.
- *Join in—invite collaborators and solicit input.* Provide ample opportunity for a variety of individuals representing a variety of perspectives and interests to provide input on the principles.
- *Keep it simple.* The lofty talk in some principles statements might feel overwhelming at the individual library or department level. Start small and grow as appropriate.

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# Open Access Practices

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**BEST PRACTICES ARE PROCEDURES THAT HAVE BEEN ESTABLISHED AND** are accepted as effective and efficient means to complete a specific task. Best practices exist for a variety of library-related workflows and are periodically updated to accommodate evolving needs, technological changes, new platforms, and other considerations. Because open access (OA) is relatively new and dynamic, best practices for it across all functional areas of the library are not yet well established. Developing best practices in support of OA will help integrate the work into local workflows. Just as the process of writing principles to reflect organizational values creates a framework for decision-making that enables a library to realize its vision and mission, articulating best practices makes tangible and concrete the theoretical and conceptual. Best practices allow information professionals to confidently embark on the work of identifying, integrating, promoting, describing, hosting, publishing, and supporting OA content and initiatives.

This chapter begins with a discussion of the importance of collaboration to OA practices in libraries. The bulk of the chapter provides examples of OA best practices across many functional areas of the library: acquisitions and collection development, cataloging, electronic resource management, institutional repository, interlibrary loan, public and access services, research and instruction, scholarly communications, administration, and outreach. (Free-to-read recommended resources are given for each of these areas in the appendix at

the end of this book.) We conclude the chapter with some considerations for best practices in support of OA.

## **COLLABORATIONS**

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In libraries, adding resources is an example of an activity that may involve the input and participation of multiple individuals. This is especially true in the case of OA resources. Adding an OA resource to a library collection and promoting its use may require collaboration between library personnel in collection development, acquisitions, electronic resources, cataloging, systems, and reference, instruction, or outreach departments. OA resources may be identified by various departments inside or outside of a library. Acquisitions librarians may participate by identifying OA resources or initiating cataloging or discovery processes, for example, by creating brief bibliographic or order records. Collection development and electronic resource librarians may need to assess several aspects of an OA resource, ranging from its overlap with subscribed content to its stability, usability, and options for discoverability. They may need to reach out beyond the library to contact a publisher or platform. A catalog or systems librarian may participate by creating records or promoting systems integration of OA resources. Reference, instruction, liaison, or outreach librarians can then promote these resources and educate users about OA.

Collaboration among librarians and library departments typically creates better experiences for library patrons. Successful collaborations across libraries and institutions lead to better services, increased savings, and a higher visibility or profile for libraries and their resources or services. Regardless of whether the collaborative project or relationship is new or existing, we suggest ensuring that certain guidelines are in place. Often a collaboration is created due to a shared need. Whether or not this is the case, a common goal is critical for a successful collaboration. Individuals who are pursuing a common goal are more willing to overcome challenges, seek out solutions, and compromise. Participatory communication provides a means for all stakeholders to be involved and stay up-to-date. Guidelines clearly set out the responsibilities and accountability mechanisms for each member of the group. Specific rules of engagement, such as articulating the perceived need for OA and its mutual benefits for all members, are also helpful.<sup>1</sup> Benchmarks track the progress of

the project, encourage accountability, and help stakeholders avoid misunderstandings. Finally, participants should be recognized when the project is completed. Above all, approach collaborations with an open mind and a willingness to compromise.

Collaboration among libraries is also a common occurrence. Given their large scale, library consortia have been successful in negotiating discounted rates on subscriptions and the acquisition of library resources. More recently, consortia have also collaborated on terms relating to OA, for example, by negotiating OA publishing waivers or discounts, flipping the content authored by consortium members to OA, or converting all content to OA if specified criteria are met. The primary challenge with approaching OA through library consortia is the degree to which members' needs vary and can be accommodated through a consortially negotiated agreement.

## ACQUISITIONS AND COLLECTION DEVELOPMENT

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As is the case with most library roles, collection development and acquisitions responsibilities have changed significantly in recent years. In the past, collection development librarians learned about relevant materials by seeking out recommendations and suggestions from colleagues and faculty members, reading reviews in library publications, and searching through lists of new publications from publishers. This is no longer enough. In addition to keeping up with changing programs as well as the curricular and research needs of their community, librarians are now expected to consider vast amounts of local usage and turnaway data, seek out resources from smaller, independent publishers, and ensure that collections are balanced and are representative of many diverse views and authors. Myrna E. Morales and Stacie Williams, in their chapter “Moving toward Transformative Librarianship” from *Knowledge Justice: Disrupting Library and Information Studies through Critical Race Theory*, state that one of the central tenets of librarianship is to “provide access to accurate, relevant information that creates an informed citizenry to further uphold democratic ideals of freedom.”<sup>2</sup> Earlier in the same book, Anastasia Chu, Fobazi M. Ettarh, and Jennifer A. Ferretti, in their chapter “Not the Shark but the Water,” challenge a statement from the ALA’s *Library Bill of Rights*. They inform readers that the statement, “Libraries should provide materials and information presenting all points of view on current and historical issues”<sup>3</sup>



presupposes that all points of view are available in formats that the library collects and that publishers equally publish all points of view.<sup>4</sup> Those familiar with scholarly publishing are aware that many of the steps scholars must take to get their work published are easier for privileged scholars in high-income countries. It is clear that providing materials and information presenting a multitude of points of view requires additional effort from collection development and acquisitions librarians.

Providing access to OA materials is one way to facilitate access to many perspectives. Adding OA materials to library collections may involve extra steps, but they are steps that aid librarians in fulfilling the needs of their community and in representing new and diverse viewpoints. As noted in chapter 1, adding OA to a collection development policy may not be the most effective way to ensure that OA resources are included in a library's collection. Establishing OA workflows for collection development and acquisitions, workflows that are created, shared, and used by multiple library workers, is more effective.

The first step to developing OA workflows is to ensure that all employees in the department understand OA resources. This can be done by gathering or creating tutorials and guides that provide definitions of OA and information on the implications of OA for librarians. These materials can be used within the acquisitions and collection development department, and they also can be shared with other departments in the library. Workshops may provide opportunities for more specialized or interactive training for librarians and staff. When all involved feel confident in their understanding of OA, the investigation of OA literature available to the library can begin.

OA resources can be identified in a variety of ways. Rhiannon Bruner and Danielle Bromelia recommend that librarians begin with OA resources that are created or funded by their institution, as well as the resources in the Directory of Open Access Journals and the Directory of Open Access Books.<sup>5</sup> Faculty members may be aware of OA resources specific to their field; librarians should solicit faculty input and identify OA publications that have locally affiliated authors or editors. Citation analysis, too, can help identify which OA resources have been useful to local authors.<sup>6</sup> Reviews of OA resources are sometimes located in professional publications such as *Choice* or *Library Journal*. Vendors

and publishers may also provide useful information about OA content and the variety of publication models available. Collaborating with publishers, especially nonprofit publishers, may yield fruitful results and novel models for the publication or support of OA content.

Once the available OA resources have been identified, the prospective content must be evaluated. Evaluate content as you would for a purchased resource. For example, if you consider the reliability and reputation of the publisher or author of the content when purchasing resources, do the same for OA resources. If you are evaluating the currency, relevance, or objectivity of resources you purchase, consider the same when evaluating OA content. The stability of the OA resource should also be considered. Is the publisher of content stable? Will access to the resource be perpetual? If the content is an OA journal, are backfiles available? Is the platform on which the OA resource is hosted easy to navigate, and is it possible to include the resources in the discovery layer? It is helpful if usage data can be gathered and content from OA resources can be displayed alongside subscription resources. Citation analysis can also facilitate evaluating the prospective OA content. Reviewing the metrics in Web of Knowledge, Scopus, or even Google Scholar can provide information about the impact of the journal.

OA should be considered when making subscription renewal or purchase decisions; as noted, librarians can increasingly negotiate with publishers to include OA in an agreement. When reviewing serials, assess the availability and amount of hybrid OA content and use that to inform negotiations. As previously mentioned, Unsub, a tool from the organization Our Research, can facilitate this analysis by modeling the effects of potentially canceling a subscription or a big deal contract based on your subscription cost, usage data, post-termination access, ILL costs, OA availability, journal citations, and local authorship data.

An essential step when adding OA resources to the library collection is to ensure that library customers are aware of them. A plan to promote OA resources should be formed. Work with librarians who are responsible for instruction and outreach to make sure that OA resources are included in classes, tutorials, and guides, and that they are otherwise promoted.

## CATALOGING

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The impact of cataloging OA content, compared to the impact of activating it via a link resolver or discovery layer, is unclear. Best practices for cataloging and OA have not yet been established, and questions about the value added by cataloging OA content persist. Some librarians have indicated that their limited labor and costly database maintenance should focus on paid content, while others have expressed concerns that OA content will drown out licensed content. Some have asked whether librarians should attempt to track or catalog OA content at the journal or article level (or both); others have indicated that tagging content as OA and distinguishing it from free to read—as opposed to both free to read and free to reuse—is an appropriate approach; and still others have expressed skepticism about whether cataloging OA content will lead it to be more discoverable, or whether being freely available on the internet is sufficient. It is hard to compete with the full-text indexing offered via the OA collections in discovery layers, and some libraries have focused their efforts strategically on local content. Though opportunities abound to load MARC records for OA collections, these opportunities may duplicate content activated in discovery layers or through a link resolver. In libraries that do not have a discovery layer, the benefit of loading catalog records for OA content becomes more apparent. Although questions abound, librarians can consider whether any of the following practices would align with their OA principles.

There have been advances in standardizing the encoding of OA content in MARC records. Rhiannon Bruner and Danielle Bromelia report that “OCLC, partnering with the German National Library, successfully passed a new MARC standard to aid in standardizing the identification [of] OA links in the 856 \$u field. This new standard enables each 856 \$u in a record to be paired with a \$7 which can be numerically coded to indicate when a link leads to a freely available resource.”<sup>7</sup> The access restriction term source codes for 856 \$7 and 506 \$2 include Creative Commons, rights statements, and standardized terminology for access restriction.<sup>8</sup> MARC 506 records restrictions on access, and encoding “0” in the first indicator means that there are no restrictions. Most catalogs and discovery layers have a built-in URL checker. Having in place a workflow for regularly checking and updating URLs for OA content is important because, even more than for licensed content, the URLs for OA content are subject to link rot.

Cataloging OA has gained most traction, perhaps, where it aligns with local scholarship, curricular needs, or textbook affordability initiatives. Several libraries harvest the metadata from content deposited into their institutional repository using OAI-PMH and then convert the data into MARC to load it into their catalogs. Jeff Edmunds and Ana Enriquez propose a similar process for loading OA collections of local interest from CONTENTdm into the catalog.<sup>9</sup> Edmunds and Enriquez have also conducted a project to mine the metadata of scholarship published by authors at their institution, search for OA versions of the articles using Unpaywall, and create MARC records for those articles for which OA versions are available.<sup>10</sup> Librarians are also beginning to add bibliographic data to Wikidata to enhance the discoverability of local scholarship.<sup>11</sup> OA content with a Wikidata record is more easily integrated into Wikipedia articles and is more discoverable via search engines. Libraries that publish or host OA journals and other content are incentivized to create MARC records and share the metadata broadly in hopes of having it indexed; doing so will enable other librarians to promote discovery of the content.

Cataloging OA content is also associated with the promotion of open educational resources (OERs) to assist with campus textbook affordability initiatives. Librarians have the option of activating several collections of OER in their discovery layers, but some librarians also choose to load MARC records. Original cataloging for OERs written by local authors is an activity that may prove valuable. Some librarians have also found it useful to provide cataloging at the article or chapter level for texts assigned in their institutional contexts. Doing so may facilitate putting these items on course reserves or linking them within the learning management system. Librarians at Mt. Hood Community College are working to enhance OER discoverability via catalog records and search engines across the Web.<sup>12</sup>

## **ELECTRONIC RESOURCE MANAGEMENT SYSTEMS AND DISCOVERY**

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Electronic resource management systems (ERMS) are valuable tools for libraries to promote the discoverability of and access to OA resources after collection development and acquisitions decisions have been finalized. Libraries employ numerous platforms and tools to aid them in the management of

complex and evolving electronic resources. The following describes some tools used by libraries for electronic resource management.

- Stand-alone ERMS or module within an integrated library system (ILS)
  - » ILS such as Innovative’s Sierra or ProQuest’s Alma include ERMS modules that may sync with other components of the ILS, such as acquisitions or holdings information.
  - » Open-source ERMS, like CORAL, are stand-alone options for managing electronic resources.
- Knowledgebases
  - » Serials Solutions from ProQuest and EBSCO’s Holdings Management are both examples of knowledgebases used by libraries to track the availability of and access to print and electronic resources at the level of the title or collection.
- Discovery systems
  - » Discovery systems combine the user-friendliness of the discovery interface with the robust searching capabilities of multi-database search functions.<sup>13</sup> The discovery system’s central index is what determines which results will be returned in a user’s search. Libraries will likely include their holdings from their ILS, along with licensed databases, electronic journals, and e-book content that their users have access to.
- A-Z database list
  - » The vendor Springshare offers another option for electronic resource management in the form of an A-Z list. Libraries can create brief records for databases within the Springshare platform, which can then be used as a list or embedded within various research guides.

Each of the tools listed above provides options for creating access points to OA resources by activating preexisting collections or creating records for OA collections. By activating OA collections within the knowledgebase or discovery layer, these resources will appear alongside other licensed or subscription library resources. By integrating OA resources within other library holdings,

the OA resources are more easily discovered and are not siloed. It is important for library users to discover OA resources alongside traditional library resources so that users do not assume that OA resources are separate due to a difference in quality of research or publishing standards.

OA collections that are managed by a knowledgebase or discovery layer vendor are convenient for libraries, but they are not always managed as well as collections for subscription or licensed resources. Subscription packages are managed more closely by publishers so that updates to access dates and title changes are promptly reflected in the knowledgebase. However, these updates do not always make their way to OA collections, which can become inaccurate. Chris Bullock, Nathan Hosburgh, and Sanjeet Mann found that when OA collections are not managed by the knowledgebase, then it is left up to librarians to request updates to individual titles as they notice errors. Their study found that “OA problems accounted for as many as 15% of all e-resource errors at their library,” according to one respondent.<sup>14</sup>

In addition to activating collections within the knowledgebase or discovery layer, libraries have options for integrating freely available, and frequently open source, tools into their link resolver and discovery services.

- OA.Works creates freely available, open-source tools such as InstantILL and OAbutton that use sources such as Unpaywall Data, Share, CORE, and Dissem.in that can be used as a browser plug-in or embedded into enterprise library systems.
- Google Scholar’s powerful web search engine, when combined with its full text and indexing capabilities, make it a valuable tool for locating green OA content that is archived in countless online repositories. Given that researchers are unlikely to have the time or inclination to search individual repositories for OA content, Google Scholar provides a convenient and reliable way to search across repositories with satisfactory metadata to be found on the Web. Libraries may also add Google Scholar to their link resolver, so that when a user attempts to access a title via the library’s discovery layer that is not locally owned or licensed, they are automatically prompted to search Google Scholar for an OA version.
- Unpaywall, Lazy Scholar, LibKey Nomad, and Kopernio are browser extensions that search for OA versions of articles on the Web.

Despite these robust searching methods, there is no single solution for finding OA content online. Teresa Auch Schultz et al. compared the effectiveness of Open Access Button, Unpaywall, Lazy Scholar, and Kopernio against Google Scholar at finding open versions of 1,000 articles on the Web.<sup>15</sup> While Google Scholar performed the best in terms of identifying free versions of the most articles, Open Access Button and Lazy Scholar each returned unique results that were not found via Google Scholar, Unpaywall, or Kopernio.

## INSTITUTIONAL REPOSITORY

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The goal of an institutional repository (IR) is to preserve and disseminate institutional documents and scholarship produced by local or affiliated scholars, including article manuscripts, conference proceedings, data sets, and theses and dissertations. Much of this content is OA or at least free to read. Librarians continue to refine the workflows for identifying potential content and adding materials to the IR. Some of this work has been informed by a desire to shift the labor from the author to those who manage the IR. At the University of Colorado, for example, librarians devised a workflow that uses the Directory of Open Access Journals to identify OA publications by UC Boulder faculty and deposit them in the IR.<sup>16</sup>

In addition to depositing born-digital content, some libraries have actively digitized and added to their IR institutional print theses and dissertations and other local materials for which copyright permissions can be obtained. Another best practice for IR management is to register content with Crossref so that items deposited in the IR will have an active digital object identifier (DOI). DOIs are unique persistent identifiers for electronically published documents, and they facilitate discovery and tracking citations as well as less formal usage, such as tweets, links in Wikipedia, blog posts, and so on. Depending on the platform used for the IR, there will be best practices for search engine optimization, metadata harvesting, and linking content to disciplinary collections beyond the individual instance, such as those included in the Digital Commons Network.

Some libraries publish materials within their IR or outside of it. When the library is the publisher of content, it can commit to making it OA; it is certainly within the right of a library to require in a Memorandum of Understanding that all published content will be OA. There is great opportunity, if



also significant challenges, to convert society or institution journals to OA journals. The Harvard Library Office for Scholarly Communication offers a comprehensive literature review on flipping such journals to OA.<sup>17</sup>

Software or applications to automate self-deposit or OA content harvesting are still nascent. ShareYourPaper.org, for example, offers to “make your paper Open Access, for free, wherever you publish.”<sup>18</sup> Several publishers are developing research dashboards to help librarians identify recently published content for integration into an IR. Taylor & Francis says: “Our Research Dashboard enables librarians to track the output of their institution, populate repositories, and support open access publishing. Partner institutions, including the more than 400 which are now part of our transformative read & publish agreements, can use the Dashboard to approve OA funding for articles as soon as they are accepted by a journal. This solution shortens publication times, reduces an administrative burden for institutions, and ensures eligible authors don’t miss out on the impact benefits of choosing open access.”<sup>19</sup> This dashboard is for librarians who are managing the “publish” side of transformative agreements with Taylor & Francis. In the future, however, there will likely be more opportunities for such platforms to help automate the discovery and ingestion of OA content by local authors into an institutional repository.

## SCHOLARLY COMMUNICATIONS

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In addition to managing the IR and conducting outreach or training relating to OA, librarians involved in scholarly communication work may also oversee the “publish” aspect of a transformative agreement. There are services that have cropped up to manage OA publishing activities, including OA Switchboard and Oable.<sup>20</sup> The Efficiency and Standards for Article Charges (ESAC) Initiative has also developed workflow and best practices for managing OA publishing. For example, they suggest that librarians ensure that OA is selected by authors when available: “Open access publishing should be the default route for eligible authors under an agreement. Authors should not be required to take further action in order to publish open access (i.e., opt-out, opt-in, signing of open access licenses, etc.).”<sup>21</sup> When libraries have invested in a Read & Publish agreement, there are nonetheless authors who opt out and sign a traditional publishing license. Whether these authors are unclear with respect to the terms, think it will require more work on their end, or do not understand



that the OA publishing funds have already been provided, the librarian has an opportunity to intervene and provide them with clarifying information.

For librarians in an academic setting, the institution's office of research may be a beneficial partner. Collaborating with units supporting research is helpful not only due to the shared goal of promoting local research but also in providing infrastructures to support it. The office of research actively engages with scholars and researchers across campus throughout their research process and may provide funding for APCs, OA book subvention funds, the campus IR, DOI registration for campus publications, transformative agreements, or other OA infrastructure. Collaborating with the office of research ensures that the library is aware of relevant initiatives and does not duplicate efforts to support and aid local authors.

## INTERLIBRARY LOAN

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Incorporating OA resources into interlibrary loan (ILL) workflows can have the multiple benefits of promoting OA resources to users, saving funds that would have been spent on copyright clearance and fulfilling user requests more quickly. Institutions using the ILLiad platform for their ILL services have a variety of add-ons available for OA searching, including Google Books, Google Scholar, HathiTrust, and Internet Archive. If an OA version of an article matches the request, the user receives an automated message letting them know that their desired article is available freely online along with a link. Worldshare ILL users can utilize "View Now" links, which use data from the WorldCat knowledgebase to identify OA content.

RapidILL from ExLibris is an ILL system specifically designed for borrowing articles and book chapters and can function alongside any existing ILL platform, such as ILLiad, Tipasa, and CLIO. RapidILL searches for an OA version of a requested article before moving on to options with an associated copyright clearance cost. Article Galaxy Scholar from Reprint Desk's Research Solutions works alongside existing ILL platforms' OpenURL link resolvers to provide fee-based document delivery. It can be set up to conduct a robust OA search before charging the borrowing institution. InstantILL uses the OA button data to allow users to search for an OA version of their article before submitting an ILL request. If an OA version is not available, or if the OA version

is unacceptable, the user can proceed with their request and InstantILL will pre-populate the request form based on the original search.

## **PUBLIC AND ACCESS SERVICES**

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Liaison librarians or other librarians with public services responsibilities can also play a role in promoting OA. Liaisons maintain ongoing communication with their academic departments and can encourage researchers in these departments to seek out OA publication venues and deposit their work into the IR or a disciplinary repository. Liaison librarians can also promote OA and OERs for classroom use. As instructors increasingly become aware of the burdensome cost of textbooks and other assigned materials to students, they may welcome input and assistance from librarians in identifying open materials and incorporating them into their classes. Librarians might develop a workshop or materials in conjunction with the local center for teaching excellence or other offices to highlight the importance of textbook affordability as a component of student success. Subject librarians with disciplinary knowledge may also be comfortable identifying OA resources that might be viable replacements for costly commercial textbooks and other assigned materials. There are numerous examples of libraries offering incentives for the development of OERs, either independently or in conjunction with external units.

In many academic libraries, the access services department plays a key role in making assigned materials available through course reserves or in the learning management system (LMS). Personnel who receive requests from the instructor of record to make resources available in the LMS course shell or course reserves can include searching for and integrating OA in their workflows. Depending on how colleagues in technical services have decided to provide access to OA—through the link resolver, catalog, or otherwise—access services can ensure that these links are integrated appropriately in the LMS and/or course reserves. Recent products such as Ex Libris’s Leganto seek to integrate library-licensed and OA content into the LMS. It is worth noting that OER textbooks are sometimes sold in a print version or with additional digital content added. By linking the free version of an assigned text in the LMS or in the course reserves, the library validates this option where the campus bookstore might suggest it is insufficient.

## RESEARCH AND INSTRUCTION

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Library personnel providing research and instructional services are recommended to incorporate information about OA publishing into lesson plans, lectures, and workshops. Their instructional content should be targeted to the appropriate audience.

### Undergraduates

The ACRL's *Framework for Information Literacy for Higher Education* provides helpful guidance on how to incorporate OA publishing into information literacy instruction for undergraduate students. The frame "Information has value" explicitly includes OA publishing as a knowledge practice when addressing the wider "legal and socioeconomic interests [that] influence information production and dissemination."<sup>22</sup>

Instruction on information privilege is another component of the "Information has value" frame that is well-suited to discussions about OA publishing. Within an institution of higher education, undergraduate students may not consider the degree of access that their academic affiliation affords them. Upon completing their education and cutting financial ties with their college or university, these former students' degree of information privilege will be significantly reduced. Upon finding themselves on the other side of the paywall, OA resources may become their most valuable sources of information.

The concept of information privilege is developed further in Dave Ellenwood's concept of information capitalism, which encourages library instructors to unveil for students the capitalist structures underpinning students' information consumption.<sup>23</sup> Ellenwood encourages information literacy instructors to challenge students to consider how information functions as a commodity in a marketplace and who stands to benefit from its consumption.

### Graduate Students and Faculty

The considerable research and publishing needs of graduate students and faculty afford library personnel a variety of opportunities to engage them on issues related to OA. Graduate students, more than undergraduates, have proven to be allies in supporting the adoption of OA policies at a number of universities.<sup>24</sup> Faculty members hold unique perspectives and have a rich

experience with scholarly communication and publishing. Understanding their scholarly communication viewpoints and needs will enable you to find shared goals and develop practices that serve your library.

Researchers may be unaware of the OA options available to them and could therefore benefit from support in the areas of authors' rights, identifying and selecting OA publishing venues for their work, understanding the OA citation advantage (OACA), and complying with funder mandates. Because it has been standard practice in scholarly publishing for researchers to give away their copyright to their publisher, researchers may benefit from a clarification of and expansion upon their rights as authors. The Scholarly Publishing and Academic Resources Coalition recommends a "balanced approach" where authors retain certain rights and the publisher has a nonexclusive right to publish and distribute the work while continuing to charge for access.<sup>25</sup> OA publishing options vary significantly from one area to the next and frequently change. When authors are investigating journals for manuscript submission, they can verify the copyright and OA archiving policies for prospective journals using Sherpa Romeo.<sup>26</sup>

Assuming that authors are concerned with their research's potential to be read and cited by other researchers, the OACA will be of interest. The assumption is that if an article is freely available online, it will be cited more often than articles that require toll-access, primarily because of the reduced restrictions on access. Allison Langham-Putrow, Caitlin Bakker, and Amy Riegelman's systematic review of OACA studies found that out of 134 studies analyzed, 64 studies (47.8 percent) confirmed OACA, 37 studies (27.6 percent) did not verify its existence, 32 studies (23.9 percent) found that OACA was only applicable to subsets, and one study was inconclusive.<sup>27</sup>

Finally, authors should be aware that if their research received outside funding, they may be required to make their findings freely available online. The National Institutes of Health, for example, requires that all peer-reviewed articles funded be available on PubMed. Funder requirements may vary in terms of which article version is acceptable for OA publishing or which destinations are suitable for publishing or archiving. Similar deposit requirements might be in place for research data, and librarians are increasingly involved in research data management.<sup>28</sup>

## ADMINISTRATION

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Library administrators are typically responsible for the budget and staffing of their organizations. Despite being free to read, OA content and platforms can be quite costly to publish and maintain. Accordingly, library administrators interested in supporting OA will need to think strategically about the best opportunities to do so, given their principles, institutional or community context, and current budget and staff. The primary opportunities to invest in OA are through collections, library publishing, an institutional repository, OA publishing fund subventions, and positions that directly support OA; each of these affords benefits but also creates expectations that may be challenging to sustain over time.

Many academic libraries, especially, have recently created positions that support OA work, often in the form of OER. Creating a new position to support OA is a viable path, but administrators could also work with supervisors to consider where it might be strategic to integrate OA work into existing positions. As the previous sections show, OA work could easily be required in positions such as collection assessment, e-resources, or a scholarly communication librarian, among others.

Another path to improve awareness of and support for OA work in academic libraries is to integrate OA into the guidelines for promotion and tenure—a practice that is not yet widespread.<sup>29</sup> American University is an example of an institution with a statement in support of OA, recommending “that schools and departments update the scholarship evaluation guidelines to explicitly consider open access (OA) publications, and update the teaching evaluation guidelines to address adopting open educational resources (OER).”<sup>30</sup>

## OUTREACH

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Promoting OA through outreach activities may be an effective method for libraries to share their commitment to information equality with their communities and provide some education for those who are unfamiliar with the topic. While appropriate events will depend on the library and the intended audience, Open Access Week, typically celebrated in late October, is an annual, international event dedicated to the advancement of OA. Participants can use the resources and support that are available through [openaccessweek.org](http://openaccessweek.org) to

tailor an event that suits their audience, along with limitations of budget, time, and labor. DeDe Dawson’s qualitative study of effective OA outreach found that messaging needs to be clear, jargon-free, adapted for specific audiences, and repeatedly delivered.<sup>31</sup> Jill Cirasella reminds library personnel that “open access” remains a term that may be unfamiliar or confusing for certain audiences that libraries hope to reach.<sup>32</sup> Conversations about OA should be targeted to the needs and interests of the audience, not the presenters.

## CONSIDERATIONS FOR OPEN ACCESS PRACTICES

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We acknowledge a variety of limitations to establishing a comprehensive or definitive list of OA practices. Best practices are sometimes presented as fixed and unchanging, but this is especially untrue in the case of best practices related to OA. Most aspects of OA continue to evolve; accordingly, best practices for OA must be informed by ongoing assessment and changing needs and opportunities. We offer the following recommendations as you consider adopting and adapting the OA practices described in this chapter:

- Align your practices and principles: they reinforce each other.
- Expand OA support over time: start small and scale up.
- Integrate OA into core functional responsibilities: do not make OA a pet project.
- Ongoing assessment is essential: revise your OA practices based on regular evaluation.
- Understand your local context: collaborate with internal and external stakeholders to meet the needs of your users.

In the library literature, best practices often speak to executing tasks comprehensively, which may come into conflict with local staffing considerations. However, it is often possible to scale down a project or implement a small portion of a practice. The goal of this chapter is not to provide a prescriptive list of everything your library should do, but rather to document some practices that librarians have devised for effectively supporting OA in their settings and to encourage librarians to adopt what works in their library. A key consideration for any OA practice is how it supports diversity, equity, and inclusion work, and that will be the focus of the next chapter.

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# Diversity, Equity, and Inclusion in Open Access Publishing

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**LIBRARIANS ARE RESPONSIBLE FOR ENSURING THAT A WIDE RANGE OF** diverse information is available to their communities. As information curators and gatekeepers, librarians play “an enormous, active, and foundational role in determining what is and isn’t regarded as knowledge.”<sup>1</sup> Providing access to research and information that include a wide range of viewpoints ensures that library users have the opportunity to see themselves reflected, learn about other cultures, observe multiple ways of living and working, and explore alternative ways of thinking and being. It is to our advantage both as librarians and humans to provide access to resources that represent the diversity of the human experience. Research in all areas “impacts how we live, how we learn, and how we see ourselves,” which in turn affects how we approach the issues of today and tomorrow.<sup>2</sup> Providing access to geographically and culturally diverse science research aids in creating possible solutions to issues that affect us all, such as water, resource scarcity, land degradation, species loss, food scarcity, health, and climate change.<sup>3</sup> Not having access to research by diverse scholars means missing valuable perspectives and perpetuating an echo chamber of knowledge that excludes new ideas. Furthermore, access to knowledge is important for all, not just for those studying at universities or conducting research in high-income countries.

Technology has facilitated global communication, affording researchers greater opportunities to collaborate with colleagues in other countries. This collaboration increases the need for access to research in those countries.

Scholars' need for access to data and research outputs from around the world is not satisfied by traditionally published journals, which typically publish a greater number of articles from scholars in the Global North and often include editorial and peer review processes that are time-consuming and rely on free labor. Because "research that isn't published is equivalent to research not done, at least from the perspective of the broader scientific community and the public," scholars are beholden to the slow and costly mechanisms of commercial publishers.<sup>4</sup> Scholars and researchers are seeking to change the prevailing paradigm of "publish-or-perish" that necessitates publishing in high-impact journals in order to achieve tenure. Thanks in part to librarians sharing information about the serials crisis, scholars are increasingly aware that the current reliance on a few large commercial publishers is neither sustainable nor suitably inclusive for research or researchers.

## OPEN ACCESS AND DIVERSITY

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Studies investigating both the diversity of authors and the publishing of research have indicated imbalances. In the United States, the publishing world itself is considered mostly male and white, and as of 2015, it had made little progress in its attempts to change that.<sup>5</sup> In the results of a salary survey published in 2015, 89 percent of the *Publishers Weekly* subscribers identified as white.<sup>6</sup> Note that according to census figures, the population of the United States in 2015 was only 76.1 percent white.<sup>7</sup> The subscribers of *Publishers Weekly* are generally described as booksellers, publishers, librarians, educators, and authors in the United States; this indicates a serious lack of diversity in the people involved in the Western publishing world. The absence of diversity in publishing is echoed by the limited diversity of the authors of published articles. The authors who publish in top-ranking journals are often privileged, white, and male.<sup>8</sup> Studies have shown that there is a significant gender disparity in the authorship of articles published in business, natural science, social science, and humanities journals.<sup>9</sup>

The amount of research worldwide being published open access (OA) has been steadily growing since at least 2008. Anna Severin, Matthias Egger, Martin-Paul Eve, and Daniel Hürlimann report that 20.4 percent of scholarly output was published OA in 2008, 23 percent in 2010, an average of 46.9 percent between the years of 2011 and 2013, and 54.8 percent in 2014.<sup>10</sup> They also

document that the percentage of research published OA varies by discipline.<sup>11</sup> The literature indicates that an increase in publishing OA articles is at least partially due to early career researchers. In a study of early career researchers from North America, the United Kingdom, China, Russia, and western Europe, published in 2020, over two-thirds of respondents said they had published OA. The authors of that study believe this indicates that the goals of OA correspond to these researchers' millennial values and beliefs.<sup>12</sup> The OA publishing statistics from lower- and middle-income countries are not yet as robust as those in higher-income countries; Haseeb Irfanullah states that in 2018, 23 percent of articles published in lower- and middle-income countries were published OA.<sup>13</sup> The increase in the percentage of articles published OA and the acceptance of OA publishing by early career academics are positive signs that OA publishing will continue to develop and be more widespread in the future.

OA is not a panacea for everything wrong with scholarly communication and publishing, however. OA publishing has barriers that make it more difficult for those outside of the Global North. Some for-profit publishers have exploited aspects of OA and used APCs as one method to increase their profit margins.<sup>14</sup> Some would argue that even the tenets of the Budapest Open Access Initiative and the stated goals of "removing barriers to literature access to accelerate research, enrich education and share the learning of the rich with the poor and the poor with the rich" have been betrayed by APCs.<sup>15</sup> Authors in lower-income countries have argued that publishers who use APCs move the access paywall for readers to a publication paywall for researchers.<sup>16</sup> Requiring scholars to pay APCs limits the number of articles from scholars from areas and countries that are not well-funded and may not have institutional or research funding, and requiring that authors apply for an APC waiver can be cumbersome and demeaning. APC-funded OA publishing has not served to increase the diversity of research.

OA has also expanded opportunities for predatory journals. These for-profit ventures are not interested in advancing or diversifying research. They intentionally mimic more established journals and target scholars from less privileged countries by offering to publish their work and obfuscating publication costs.<sup>17</sup> Predatory journals may or may not publish the solicited articles, and are unlikely to provide tools that support discovery, such as registering DOIs, supplying robust metadata, and indexing in reputable databases.

Academic communities understand the benefits of increasing diversity on campus. It is less likely, however, that these communities have considered the importance of diversity in their library resources. Information accessed through the library may be adequately diverse and include perspectives from diverse authors, but diversity audits of collections are a relatively new phenomenon. Recent publications highlight the variety of approaches that can be used to increase the diversity of library collections.<sup>18</sup> Support for OA resources may increase the availability of information by diverse authors. For example, publishers increasingly encourage participation of scholars from lower-income countries in the advancement of research by offering APC waivers or discounts and grant programs. The MIT Press recently developed a grant program for diverse voices that “supports new work by authors who bring excluded and chronically underrepresented perspectives to the fields in which the Press publishes across the sciences, arts, and humanities.”<sup>19</sup>

## OPEN ACCESS AND EQUITY

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If diversity can be understood through the identities of individuals, equity can be understood as their lived experience. In this case, experience would entail the reading and publishing of individuals and communities served by a particular library. In most cases, OA presents rich opportunities for readers to access and engage with content. Despite this capacity to open previously gate-kept literature to all readers, OA publishing often perpetuates elitist structures that have long existed in scholarly communication. Within the context of OA publishing, economic equity is multifaceted. Individual authors and readers fare quite differently depending on their affiliation, specialization, geographic location, and information needs. OA has great potential to make scholarly communications more equitable, but the transitional phase in which we find ourselves offers models that benefit equitable participation and hinder it; some models arguably do both.

OA models do provide more equitable “reading” access to published content, and this should be acknowledged as a win. Arguments that transformative OA models do not go far enough or that they reify elitist publishing models must also be acknowledged. Although transformative agreements open some content to readers worldwide, these agreements with commercial publishers are often structured in a way that prioritize publishers’ profits over equitable access to OA publishing. Subscribe to Open is emerging as a more equitable

model in that APCs do not enter into the equation, and a lack of funds to publish would accordingly not be grounds for exclusion.

Those with privileged affiliations and positions may be best situated to publish their work in an OA or free-to-read format; studies have found that “the likelihood for a scholar to author an APC OA article increases with male gender, employment at a prestigious institution (AAU member universities), association with a STEM discipline, greater federal research funding, and more advanced career stage.”<sup>20</sup> On the other hand, OA journals have expanded their publishing venues, allowing research on niche or highly specialized subject areas to be published.<sup>21</sup> Unfortunately, OA publishing is already fraught with scholarly communication’s long history of elitist practices that were meant to exclude rather than include. If OA publishing is to become more equitable, librarians will need to advocate for models that serve their authors and readers.

## OPEN ACCESS AND INCLUSION

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One way to frame inclusion is to ask how individuals and communities are included or excluded. This section considers how authors and readers are excluded from engaging with OA and how librarians might work to ensure that all are included. As noted, the funding available to those with academic affiliations or grant funding in higher-income countries supports much of the OA infrastructure and work. Although OA content is freely available on the internet, academic librarians add considerable value to the discovery and contextualization of OA content in their online discovery tools, and they also pay for solutions that optimize the discoverability of OA content. Academic libraries are more likely to use knowledgebases, institutional repositories, and discovery platforms that promote the maintenance of and access to OA materials. Public and school libraries are less likely to have the funding to support these systems and platforms and may be reluctant to pay for products that facilitate the discovery of free-to-read content.

This points to the importance of community-led infrastructures that are supported and maintained by nonprofits, including libraries. Costly and robust knowledgebases or discovery platforms that have been developed for academic libraries may never be suitable to the public library context. Therefore, initiatives that offer low- or no-cost, open-source solutions for OA infrastructure that are community developed and maintained offer an opportunity

to include communities outside of academia so that they too can benefit from the discovery and context that these systems can provide.

Because OA funding and growth efforts have been focused in the Global North, this creates an imbalanced pipeline of information from the Global North to the South. Research conducted in the Global North becomes increasingly available and directed to less wealthy regions in the Global South, while the research concerns and interests of the Global South do not make their way North. In order to address this imbalance, Michelle Baildon recommends “contributing funding to OA initiatives originating in the Global South such as SciELO or Redalyc.”<sup>22</sup> Furthermore, Baildon suggests that libraries subscribing to journals from the Global South, perhaps in place of contributing to North American or European OA initiatives, would make a material difference toward inclusivity.

Although much of the discussion about OA centers on scholarship published as a monograph or an academic article, opportunities to make OA more inclusive might also extend to diverse format types. The Berlin Declaration includes an objective that encourages cultural heritage institutions to make their resources OA.<sup>23</sup> Cultural heritage institutions that digitize and provide digital access to materials promote diverse perspectives and share a wealth of unique materials to learners worldwide.

## FINAL THOUGHTS

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OA intersects with diversity, equity, and inclusion (DEI) in a variety of ways. These relationships tend to be complex and evolving. Despite the opportunities that OA affords to include more diverse individuals and to be more equitable and inclusive, in practice OA has tended to perpetuate existing norms in who participates, how they participate, and who is excluded. Supporting OA in library collections is one component of expanding the diversity of library collections. OA has the potential to increase access to information written by diverse authors, by advancing perspectives from the Global South. Librarians have the opportunity to advocate for the integration of DEI considerations in the OA initiatives they support. The past twenty years of OA progress have demonstrated that without ongoing advocacy and conversations about the broader scholarly communications landscape, OA will not be a means to realize positive changes, but rather the perpetuation of a status quo that favors publishers' profits.



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# Responding with Agility to Open Access Change

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**LIBRARIES MUST CONTINUALLY ADAPT AND FOSTER A CULTURE OF INNOVATION** to successfully meet the needs of their communities. Similarly, navigating open access (OA) requires that librarians engage in continuous learning. The ever-evolving nature of OA and scholarly communication may feel overwhelming or impossible to keep up with, but a wider view of the history of libraries reveals a trajectory of constant change since the very beginning. The past two decades specifically have been a period of rapid growth for both the institution of libraries and the individuals performing library work. The authors contend that even those for whom change can be disruptive or stressful can learn to thrive in a dynamic environment and that OA provides a great incentive to do so.

## **THE CHANGING LANDSCAPE OF LIBRARIES**

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One way to illustrate how successful librarians have been at transformation is to consider how and why libraries began in the United States less than 200 years ago. Most public libraries in the United States evolved from “social libraries,” which were member-owned.<sup>1</sup> These were typically made up of upper-class, white citizens who paid subscription fees to belong to the library. Over time, public libraries grew and developed with donations of money, books, and funds from wealthy, white, male philanthropists. Similarly, many academic libraries began with the donation of a private book collection from

a benefactor, or they grew from subscription-based, members-only literary societies.<sup>2</sup> Academic library collections were built by and for the purpose of educating privileged white men, which significantly impacted the library collections. The authors, viewpoints, and subjects of library collections were filtered by the realities of a narrow segment of the world. Although academic libraries were built to support the education of the privileged few, they have since evolved to support diverse institutional missions and populations. Accordingly, library collections now contain materials authored by more diverse individuals and representing many perspectives. Library workers are increasingly diverse, and the users they serve encompass people of many socioeconomic backgrounds, ethnicities, and genders. Education is no longer limited to a narrow segment of the population; it is open to many. To support students, researchers, and communities, library collections need to be broad and contain varied subjects and viewpoints.

Technology has been the cause of much recent disruption in libraries. Changes in technology have impacted every type of job in every type of library. Library workers have not only adapted to developing technology but have also created new solutions, now possible due to technology. The once standard library card catalog became an integrated library system, and librarians who began cataloging by typing title, author, and subject cards for a card catalog may now be expected to have a skill set that includes records management and data management as well as an understanding of multiple types of cataloging rules.<sup>3</sup> The advent of electronic resources, which has allowed for the proliferation of OA materials, necessitated many changes. Serials departments dealt with changes in format from exclusively print to primarily digital, changing every workflow related to serials. Reference librarians began using online databases and the internet to assist users, which has required advanced information and media literacy skills in order to determine the reliability of sources. Library departments have shrunk, grown, vanished, or emerged to address rapidly changing technology.

Another driver of change—and one that librarians have supported and advanced—is centering users and their experience. Patron- and demand-driven acquisitions highlight the degree to which user preferences have driven collection development in recent history. User-driven preferences for all aspects of library resources and services have arguably been informed by the prevailing ease of access to information on the internet. Users began to

expect access to library resources without the need to enter a library building, and so librarians changed their collections, spaces, duties, and procedures to meet these expectations. Libraries now routinely provide resources for users virtually, including electronic resources such as databases and journals, e-books, and streaming videos. Reference, instruction, and other services are also delivered partially or primarily online. These changes developed slowly over the course of many years, and, in response, librarians' jobs have changed accordingly. Job duties expanded to allow for changing user needs and changes in providing resource access. Many jobs were originally designed for the print environment, and new duties were adopted gradually, usually before job titles or job descriptions were adapted or new positions were created.

## **LIBRARIANS ARE AGILE**

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As library users become increasingly successful at finding information on the internet, the perceived value of libraries has diminished to some people. Remaining valuable and useful to our institution and community is crucial to a thriving library. Library workers are essential to the success of any change in a library. Creating a clear goal and engaging all library staff encourages buy-in and reduces the influence of staff members who are resistant to change.<sup>4</sup> To create positive change, librarians must understand what users want, articulate our value to stakeholders, and move past what we think should be valued. Morgan M. Stoddard, Bill Gillis, and Peter Cohn urge librarians “to recognize that the future is already here. What does it mean to be engaged in librarianship in the twenty-first century?”<sup>5</sup> We believe that engaging in librarianship in the twenty-first century requires a commitment to remain agile and a willingness to learn and grow. To facilitate personal agility:

- Embrace the concept of risk. It is not possible to create change without sometimes failing. Do not wait to implement changes until the solution is perfect. Continue to revise and improve ideas as you work. Be willing to change workflows repeatedly as knowledge and understanding increase.
- Consider small changes when working in an environment that is slow to change. Although it can be difficult to transform the philosophy of an institution, executing small changes should be considered an

achievement and may inspire more.<sup>6</sup> Small changes can be a course of incremental adjustments that may be easier to manage for those involved.

- Work collaboratively across departments and roles. Each employee has unique experiences to draw on. Working in groups encourages the generation of new ideas and different perspectives: “Every generation of academic librarians has met the constantly changing challenges and emerging opportunities with ingenuity, creativity, and courage, frequently by working together.”<sup>7</sup>
- Seek collaborators outside of the library. By providing new outlooks into library users’ needs, these partnerships can illuminate how to add value to library services and how to better communicate the library’s value. Working with people outside of the library may also fill gaps in skills not possessed by library colleagues.
- Continue to learn. “The very nature of our jobs—helping people find information—is based on continual learning. Make sure to start learning, and to keep learning throughout your career.”<sup>8</sup>

## OPEN ACCESS CHANGES RAPIDLY

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How librarians acquire, collect, and make resources discoverable is always evolving due to changing user needs, systems, acquisitions models, budgets, staffing levels, and numerous other considerations. Being responsive and agile allows librarians to acknowledge problems and shortcomings in their resources and services. OA is one example of this, and it is perhaps even more dynamic than commercial resources, given its relative newness and the variety of publishers, systems, and projects vying for attention. Librarians have learned the importance of working nimbly; these lessons apply to the assessment of and work with OA principles and practices.

Though principles may not be adapted as quickly or easily as practices, librarians should have a plan for regularly revisiting and updating principles. The process of revision works best when informed by the needs of the library’s community and the daily labor of library employees. For example, librarians have recently responded to their communities by conducting assessments of the diversity, equity, and inclusion of library collections and making progress toward inclusive and representative resources. Such ongoing work and

projects are an example of principles that libraries should acknowledge. The Budapest Open Access Initiative (BOAI) recently posed several questions that are relevant to assessing the principles your library articulates with respect to OA:

What are your long-term hopes or goals for OA, beyond growing the quantity of OA research?

In assessing the success or failure of the OA movement, now or in the future, what kinds of accomplishments would you consider?

Do some strategies (methods, models) to advance OA have harmful longer-term consequences? If some strategies do cause harm, which strategies and which harms?

Which strategies to advance OA positively foster (or at least avoid conflicts with) longer-term goals?

What inequities in scholarly publishing and research can OA address? What inequities can it not address?

What are the most promising fronts for collective action (by individuals and organizations) to advance OA and its long-term goals?<sup>9</sup>

Practices can be updated more frequently and should also be revised on an ongoing basis. As librarians engage in OA-related work, they should consider what is working well and what merits revising for the sake of efficiency, optimizing user experience, training or allocating staff, or other considerations. Daily practices will also be informed by research and OA opportunities and challenges. The BOAI similarly posed several questions relevant to assessing OA practices:

What realistic and specific actions would help overcome . . . obstacles [to OA] where you work?

Which obstacles to OA, including misunderstandings about OA, are the most serious in your environment?

What are the most important actions you could take as an individual to advance OA?

What are the most important actions your institution could take to advance OA?

How have certain OA policies, practices, or initiatives provided concrete benefits for you, your organization, or your region?

How have certain OA policies, practices, or initiatives had undesirable outcomes?

What current or new approaches to OA would best address the particular needs of your community or region?<sup>10</sup>

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# Conclusion

## *Let This End Be Your Beginning*

**WE END AS WE BEGIN, BY EMPHASIZING THAT ALTHOUGH POLICIES ARE** familiar and comfortable—they are how librarians have always done things, after all—we need to be aware of their many shortcomings. Most importantly, policies are dehumanizing. Policies have too often been used to impose practices on employees who had little opportunity to revise or question them. Policies can be weaponized against employees and library patrons with the least agency and have been used to assert that practices are neutral even as they systematically reinforce biases. Policies are not agile and may not allow librarians to change direction quickly enough. As we hope is clear after reading this book, the rigidity of policies does not facilitate working in support of open access (OA). Furthermore, policies exacerbate some librarians’ “tendency to overplan and seek perfection.”<sup>1</sup> There is no ideal or one-size-fits-all approach when it comes to integrating OA principles and practices in your library; local and sustainable must be preferred to perfection.

In the introduction, we provided some definitions of OA and discussed their implications for library collections. OA presents a considerable disruption to traditional models of scholarly communication. Accordingly, it affords librarians ample opportunities and challenges as they develop strategies for their collections and services. Where libraries have historically focused almost exclusively on facilitating the “read” aspect of scholarly publishing, many

have recently switched gears to also support the “publishing” side. There are numerous OA models, and they will continue to proliferate.

Understanding local needs, values, staffing capacity, and systems with respect to OA is a more productive approach than simply writing a collection development policy for OA. In chapter 1, we documented the decline of collection development policies over time and discussed their strengths and weaknesses, especially with respect to OA. We acknowledge that policies have long been used to create structure, communicate intention, and facilitate assessment, and we propose replacing policies with principles and practices. In chapter 2, we investigated how librarians are currently integrating OA into their collections and some of the obstacles encountered. Specifically, chapter 2 highlights strategies and workflows for activating and maintaining OA content, approaches for negotiating transformative agreements, institutional repositories, university, national, or funder OA mandates, and guidelines for financially supporting OA content, initiatives, and platforms.

Chapters 3 and 4, which examine OA principles and OA practices, are the heart of the book. The previous chapters had developed the argument that policies are ill equipped to support the integration of OA content, initiatives, and work in libraries. In chapters 3 and 4 we provided an alternative, namely, defining principles and practices that align with local needs, values, and capabilities. We argue that taking a principles-based approach to OA is useful in developing local practices because it forces librarians to articulate how and where OA aligns with local collection needs, library and institutional strategies, and scholarly output. The value of best practices is that they make tangible and concrete the more theoretical principles. In chapter 4, we explored OA practices in a variety of functional areas throughout the library, and we asserted that identifying and revising practices allows all library employees to confidently embark on the work of identifying, integrating, promoting, describing, hosting, publishing, and supporting OA content and initiatives.

In chapter 5, we explored the intersections of OA publishing and diversity, equity, and inclusion, noting that some models or approaches to OA do not herald an open future for all. Scholarly communication has a long history of excluding those who cannot pay to play, and librarians are increasingly aware of the damage wrought by their role as gatekeepers in this process. Although OA is not a simple solution to the complex problem of costly and exclusionary

scholarly communication practices, working toward a more open future is a worthwhile goal.

In the final chapter, we reiterated some of the challenges posed by OA; namely, it is ever evolving and requires librarians to be equally agile. We encourage library workers to use this book for inspiration as they adopt principles and practices in support of OA—to use the elements that resonate and ignore those that do not. This book is far from comprehensive, and like any publication dealing with OA, some elements of this book will age better than others. Although we are aware that all of its content will not be timeless, we hope that the approach of addressing both the theoretical and the hands-on, the principles and the practices, will endure. By establishing processes to articulate the values and workflows related to OA and renewing these on an ongoing basis, your library creates buy-in for those employees doing the labor. By moving away from policies that alienate many workers and patrons, your library steps closer to a future that, in addition to being more open, is also more inclusive.

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**NOTE**

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# Appendix

## *Recommended Reading*

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