

# Florida State University Libraries

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Faculty Publications

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2011

## Faculty Senate Library Committee - Task Force on Scholarly Communications: Final Report

Micah Vandegrift





Florida State University

Task Force on Scholarly Communications

Final Report

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## 1. Executive Summary

The Task Force on Scholarly Communications was developed to explore the impact of digitization and networked information practices on researchers, libraries, and universities with the goal of developing recommendations for how Florida State University might better manage scholarship in the digital age. Taking our cues from peer and prestige institutions like Duke University, The University of Kansas and Harvard University, who are already developing scholarly communications policies, the Task Force recommended the adoption of an open access resolution and institutional repository to better archive and more effectively promote FSU's intellectual output. The Task Force also outlined additional aspects of scholarly communication for exploration should its mission be continued.

### 1.1 Overview

The Faculty Senate Library Committee's Task Force on Scholarly Communication was created in January, 2011 to survey the radically changing landscape of scholarly publishing heralded by digitization and the internet. It was appointed to assess these changes and to propose ways that the Faculty of Florida State University might respond, in keeping with the University's appointed mission to "preserve, expand and disseminate knowledge" and to "encourage the dissemination and transfer of knowledge by providing broad access to institutional resources and services to the community and the State."<sup>1</sup> The Task Force was comprised of a diverse range of faculty and staff from 14 university units, including the arts, humanities, sciences, social sciences, the library and the medical and law schools. It was co-chaired by Matthew Goff, Associate Professor of Religion, and Jordon Andrade, E-Science Librarian. [See Appendix A for Task Force membership.]

The Task Force was charged to:

- Conduct an environmental scan of FSUs faculty involvement in scholarly publishing.
- Increase awareness of scholarly communication issues on campus.
- Explore support for copyright assistance and open-access initiatives with FSU administration.
- Make recommendations to the Faculty Senate about scholarly communication initiatives and/or policies.

Based on these charges the Task Force identified broad goals and objectives [see Appendix B] and began its meetings in early 2011. With the hire of Micah Vandegrift, a recent graduate of FSU's School of Library and Information Studies, as a Project Manager in May, the Task Force gained momentum and started to develop resources and more clearly define the specific items it would accomplish, including: supporting the libraries development of an open access institutional repository, proposing a resolution to the faculty senate that would serve as a statement of support for the repository and faculty who participate in it, and working with University Libraries to develop a staff and informational/educational support structure for the continuation of a Scholarly Communications initiative.

### 1.2 Results

#### Institutional Repository

The Task Force on Scholarly Communications originally worked closely with University Libraries in the development and oversight of an institutional repository (IR). Digital Commons, software purchased from Berkley Electronic Press, was chosen as the tool for this purpose. The repository was titled

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<sup>1</sup> From University Mission Statement in the 2011-2012 Undergraduate Bulletin and Florida Board of Governors Strategic Plan, 2005-2013.

***DigiNole Commons: Virtual Repository of Electronic Scholarship (ViRES)*** after discussions within the Task Force and approval from Dr. Eric Barron, President of Florida State University and support from Dr. Bob Bradley, Interim Provost. This repository will serve as a digital archive of faculty's scholarly publications and will be openly searchable on the internet through any search engine. Establishing an open access repository is a common early step in a scholarly communications initiative. Ongoing development of the repository will be supervised by Emily Gore, the Associate Dean of Digital Scholarship and Technology Services, who joined FSU Libraries in August 2011.

### **Information/Education campaign**

A survey of scholarly publishing practices was emailed out to 2,032 faculty members in September, of which 732 chose to participate (a response rate of 36%). The survey indicated varying levels of knowledge and understanding about the changes happening in scholarly publishing. Misconceptions about how open access functions in the university ranked very high in the results, typically, as noted from other research, and as such the Task Force identified the need to create an informational and educational campaign. One aspect of this campaign was planning several events to coincide with International Open Access Week, October 28-30, 2011. Going forward, the Task Force recommends extensive outreach to faculty, graduate students and the student body in order to raise awareness of the benefits of open access and scholarly communications for the profile of the university. [Refer to Appendix G for Survey Results].

### **Resolution**

After considerable research, various meetings with administrators and presentations, the Task Force decided that the culmination of its efforts would be the proposal of an open access resolution to the Faculty Senate in October, asking them to endorse the development of an open access Institutional Repository and to support faculty who wish to use this tool or pursue open access publishing. The resolution proposed by the Task Force was moderate by design, and served as a first step in the ongoing process of founding an active Scholarly Communications program at FSU. The resolution, so-called to avoid any implication of mandated policy, was presented to the Faculty Senate, and affirmed by unanimous vote, at their October 19, 2011 meeting. [See Appendix E for the full document.]

### **Resolution text**

*The Faculty Senate of The Florida State University, consistent with the University's mission to "preserve, expand and disseminate knowledge" and to provide broad access to institutional resources and services, endorses the storage and preservation of scholarly publications in The Florida State University's open access institutional repository.*

### **Conclusion**

The Task Force accomplished its goal of establishing the foundation for a forward-moving scholarly communications initiative through the adoption of an open access resolution, the ongoing development of an institutional repository to archive the university's intellectual output, and efforts to address concerns and provide good information about the future of scholarly publishing and support to the Florida State University community. Further work will be conducted by the newly hired Scholarly Communications Librarian in collaboration with an ongoing faculty/librarian task force.

## 2. The Evolving State of Scholarly Communication in Higher Education

### 2.1 Background

The cycle of producing, sharing, and consuming research in higher education is substantially evolving as a result of digital technology. A publishing paradigm has prevailed in academia that faculty members voluntarily participate in and contribute to through journal submissions and serving on editorial boards. This paradigm is shifting to include open access to research, digital scholarship, and accounting for the introduction of new tools and methods for disseminating academic research. Universities and funding institutions are adopting policies and infrastructure to support this evolution of scholarly communication. Currently, according to information from the Registry of Open Access Repositories Mandatory Archiving Policies (ROARMAP), approximately half of all Public Research 1 universities in the United States are actively pursuing the development and/or implementation of institutional policies relating to open access, copyright, digital scholarship and their adjudication in terms of promotion and tenure.<sup>2</sup>

A major impetus for the rise of discussions with regard to Scholarly Communications and Open Access was born out of economic concerns within academic libraries. In fact, many of the key voices urging the discussions are librarians, deans of libraries and faculty who are invested and supportive of the libraries mission to serve the academic as well as general community. The unsustainability of rising journal costs is causing university libraries to reconsider how their funds are allocated, which in many cases means substantial cuts to the libraries journal subscriptions and holdings. Library Journal's annual report *Periodicals Price Survey*, a good indicator of the problematic status of journal holdings, states

“There’s no way to sugarcoat the impact higher serials prices have on the information marketplace, or the dire state of funding for libraries. Libraries are no longer in a position of having to cut low-use journals in order to make room for high-use ones; instead, they are now being forced to cancel heavily used, even essential subscriptions, much to the dismay of their patrons [...] Although some publishers and vendors have pledged to hold prices level in the coming year, for 2012 serial prices will continue to edge up in the aggregate. The continued weakening of the dollar means that foreign prices will increase at a slightly higher pace than those of U.S. titles, but, overall, we see price increases for general periodicals trending in the five to seven percent range and academic titles in the seven to nine percent range. With library budgets in decline, this range of increases will be just as damaging as the serials price increases seen at the peak of the “serials crisis” in the 1990s, before the Big Deal<sup>3</sup> became common. During that time, serials prices increased 10.8 percent in 1995, 9.9 percent in 1996 and 10.3 percent in 1997, eventually reaching 10.4 percent in 1998.”<sup>4</sup>

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<sup>2</sup> <http://roarmap.eprints.org>

<sup>3</sup> A subscription package that publishers sell to libraries as a bundle, often not allowing for negotiations on price or journals included.

<sup>4</sup> Bosch, Stephen, Kittie Henderson and Heather Klusendorf. “Periodicals Price Survey 2011 | Under Pressure, Times Are Changing.” *Library Journal.com* (Apr 14, 2011) Accessed July 25, 2011. Available at [http://www.libraryjournal.com/lj/ljinprintcurrentissue/890009-403/periodicals\\_price\\_survey\\_2011\\_.html.csp](http://www.libraryjournal.com/lj/ljinprintcurrentissue/890009-403/periodicals_price_survey_2011_.html.csp)

The economic argument for a change in the scholarly communications cycle is often touted in library circles, and the push for open access is seen as a possible tool for leveraging publishers costs down. However, when addressing the issue from the academic scholar's perspective, an entirely different range of concerns emerge.

More than a few reports on faculty perceptions of the changes happening in scholarly communication point out that there is little to no concern about a "crisis" in this area, as is often put in library literature. Ji-Hong Park and Jian Qin, in their report *Exploring the Willingness of Scholars to Accept Open Access: A Grounded Theory Approach*, outlined seven factors that influence faculty's opinions including perceived journal reputation, perceived career benefit, and perceived content quality, among others.<sup>5</sup> Several concerns persist in these reports, such as that peer review, the standard for academic publication, may suffer under open access models and that pursuit of open access will affect promotion and tenure negatively. Also common was the misunderstanding that open access solely applies to publishing in open access journals. Alma Swan and Sheridan Brown's foundational study in 2005 of author's attitudes and knowledge of open access self-archiving claims that 71% of authors who have not yet self-archived in an open access repository had no idea that it was a legitimate method of participating in open access, without altering one's publishing practices.<sup>6</sup>

The budgetary complications of libraries, the strong opinions of faculty about their publishing habits, and misconceptions about open access have created a unique opportunity for rethinking the scholarly communication cycle. Addressing this, several organizational bodies, as well as many individual academic institutions, are developing resources and programs with which to build a new infrastructure.

## 2.2 Current Movements

It is important to note that the movement toward open access has a long history. The field of Physics has the remarkable claim that since 1991 they have been participating in open sharing through arXiv.org, a disciplinary repository. The medical field also has been a long supporter of the shift toward greater access, proven by the National Library of Medicine established PubMed (an index of medical literature) in 1997 followed in 2000 by PubMed Central, offering free access to full-text articles. On the research and resource support side SPARC (Scholarly Publishing and Academic Resources Coalition) was founded by the Association of Research Libraries in 1997. Also, international groups have been significant in this history; the Budapest Open Access Initiative in 2002 provided a solid definition for the principle, followed by the Canadian Institutes of Health Research becoming the first North America funding body to adopt an open access policy in 2007. More recently, universities are actively joining the movement by adopting mandates or policies within their faculty senates, expressing support of the principle of open access for research as well as laying out how this will be accomplished at the

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<sup>5</sup> Park, Ji-Hong and Jian Qin. "Exploring the Willingness of Scholars to Accept Open Access: A Grounded Theory Approach." (January 2007) *Journal of Scholarly Publishing*, Vol. 38 Issue 2, pp. 55-84. Available at <http://utpjournals.metapress.com/content/c97213218720314m/>

<sup>6</sup> Swan, Alma and Sheridan Brown. "Open Access self-archiving: An author study." (May, 2005) A JISC Report: Open Access Author Studies. Available at [http://www.jisc.ac.uk/uploaded\\_documents/Open%20Access%20Self%20Archiving-an%20author%20study.pdf](http://www.jisc.ac.uk/uploaded_documents/Open%20Access%20Self%20Archiving-an%20author%20study.pdf)

institutional level. Harvard, MIT, University of Kansas, Duke and many other national and international schools have adopted these policies since early 2008.<sup>7</sup>

Invaluable contributions in the organization and sharing of resources have been made by SPARC with Peter Suber, the Association of Research Libraries and the Association of College and Research Libraries. Suber, a senior research fellow for SPARC and fellow at Harvard's Berkman Center for Internet and Society, wrote a newsletter titled SPARC Open Access Newsletter (SOAN) from 2002-2010 that documented many of the advancements in open access, and these newsletters have become foundational in developing open access initiatives. Drawing conclusions from his vast experience, Suber's "A field guide to misunderstandings about open access," "Responses to common misconceptions about campus-open access policies" and "Open access choice talking points" summarize the main approaches that can be taken when promoting open access.<sup>8</sup> Additionally, the Association of Research Libraries' (ARL) Reshaping Scholarly Communication website in tandem with the Association of College and Research Libraries' (ACRL) Scholarly Communication Toolkit, provide numerous presentations, handouts, articles and research resources that serve the community of librarians working in this area. These three sources of information became a major basis of the Task Force's research.

### 2.3 Future Directions

Building on the momentum of open access publishing, campus-based Scholarly Communications initiatives and groups like the recently formed Coalition of Open Access Policy Institutions (COAPI) are looking to the future. Institutionalizing support for the evolution of an open or digital scholarly publishing system remains a complex task, especially when considering that many of these efforts are library-led. Furthermore, adapting the practices of scholars while accounting for their professional goals will continue to be the daily work of open access advocates.

The Scholarly Communications Institute, convened annually at the University of Virginia for the past 9 years, has specifically explored the new scholarly communications model in application for the humanities, which as a whole has been slower to adapt than the sciences. Their 8<sup>th</sup> meeting in 2010 produced a report titled "Emerging Genres in Scholarly Communication" and outlines several areas of current and future growth. Along with identifying new genres of scholarship – the curated database, the scholarly blog, the multimedia argument, and media-based sound studies – they proposed that the "who" and "how" of scholarly publication have the greatest potential to evolve. They also recommended some next steps:

1. Audience: with the goal of ensuring that high-quality scholarship is readily accessible to peers, students, and the general public, scholarly communication should take advantage of mobile-based consumer technologies and customization, moving beyond reliance on Web-browser based desktop usage.
2. Education: scholars should develop literacies in media that help them create multimedia scholarship, understand how to assess such scholarship, and make explicit to their audiences—

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<sup>7</sup> Dates and timeline referenced from Peter Suber's Timeline of the Open Access Movement (<http://www.earlham.edu/~peters/fos/timeline.htm>) and the Open Access Directory wiki ([http://oad.simmons.edu/oadwiki/Timeline\\_before\\_2000](http://oad.simmons.edu/oadwiki/Timeline_before_2000)).

<sup>8</sup> Available at <http://www.earlham.edu/~peters/fos/oawritings.htm> and <http://www.arl.org/sparc/publications/index.shtml>

fellow scholars, students, and the public—how to understand the meanings of multimedia scholarship.

3. Professional development: new skills and "alternative academic" career paths should be developed for many scholars, librarians and publishers, all of whom are critical to collaboration in new scholarly production.
4. Reduce IP constraints: Scholars must practice and assert their right to quote text and media in education and authorship or risk losing once and for all the right to assert fair use. Both publishers and scholarly societies should be in the vanguard of creating guidelines implementing policies that promote access to scholarship through fair use.<sup>9</sup>

The work of the Scholarly Communications Institute anticipates institutionalized support for advanced models of scholarly communications, with partnerships being created between the various stakeholders (libraries, publishers, scholars, and the public) to promote new and innovative ways of sharing scholarship. The establishment of formal bodies and groups hosting discussions on these issues, as well as building actionable consensus, will continue to be pressing and important issues.

### **3. The Task Force on Scholarly Communications at Florida State University**

Interest in a scholarly communications initiative developed on FSU's campus over the years 2009-2011. Gloria Colvin, a Research Librarian at FSU, was instrumental in noticing Scholarly Communications as a rising trend through conferences and professional organizations, and introduced it as an area for development in Florida State University Libraries. In July 2010, after being turned down the previous year, FSU was chosen as one of five sites nationally to host an ACRL Scholarly Communications 101 Roadshow featuring Kevin Smith of Duke University and Lee Van Orsdel of Grand Valley State University. The program collected a variety of partner organizations including the statewide ACRL chapter and several Universities, and was attended by librarians and professionals representing several states in the south east. With the key hire of a E-Science Librarian Jordon Andrade in the fall of 2010, the groundwork was laid to establish FSU's growth in this area.

The Task Force on Scholarly Communications was formed out of the Faculty Senate Library Committee. It met consistently for 15 meetings between February 18th and October 12th. Meeting agendas and minutes were kept by the project manager and all information, research and group correspondence was handled through a Blackboard group site. (Details and major decisions from the meetings are listed in the Initiatives and Outreach section below and in Appendix D). A library guide or "libguide" on Scholarly Communications was developed as a web space for information about FSU's Scholarly Communications actions.

#### **3.1 Background and Foundation**

In October of 2010, Gloria Colvin and Jordon Andrade offered a presentation to the Faculty Senate Library Committee on the basics of Scholarly Communications, with the goal of proposing this as an imperative future direction for FSU to consider. The presentation was accepted and subsequently discussed by the Library Committee, chaired by Dr. Dennis Moore from the English department and including faculty from 11 different academic units. That body moved to create a Task Force to explore Scholarly Communications and its implementation at Florida State. After several months of planning and

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<sup>9</sup> "Emerging Genres in Scholarly Communications: Meeting Summary." Available at [http://www.uvasci.org/wp-content/uploads/2010/09/SCI-8-summary.final\\_.pdf](http://www.uvasci.org/wp-content/uploads/2010/09/SCI-8-summary.final_.pdf)

discussion between Dr. Dennis Moore, Gloria Colvin, and Sammie Morris, the Associate Dean of Special Collections, the Task Force on Scholarly Communication officially coalesced under the guidance and co-chairpersonship of Dr. Matthew Goff, Associate Professor of Religion and Jordon Andrade. The Task Force's members were chosen after drawing on suggestions from members of the Library Committee, and asking faculty to join based on their knowledge of digital issues, with a keen eye to establish a broad cross-section of people from a range of disciplines.

Concurrent with these efforts, FSU's College of Medicine Dean, Dr. John Fogarty, established a Task Force to explore Open Educational Resources (OER). This Task Force developed some valuable connections and insights with statewide organizations that were working toward establishing an open textbook repository, and included Barbara Shearer, Head of the Medical Library, and Roxann Williams, Special Projects Librarian in the College of Medicine, as well as faculty and instructional technologists. The culminating work of the College of Medicine's Open Educational Resources Task Force blended perfectly with the formation of the Task Force on Scholarly Communications, as both were interested in exploring these topics broadly and developing a campus-wide initiative. The early work of Gloria Colvin and the College of Medicine opened the door and provided a platform on which the newly established Task Force would build.

### **3.2 Challenges**

The Task Force on Scholarly Communications began its work in February of 2011 with a meeting establishing and explaining the charge and goals of the group. The Faculty Senate Library Committee charged that the Task Force conduct an environmental scan, increase awareness among faculty and administration through advocacy efforts, explore support for copyright assistance, and finally make recommendations on these to the full Faculty Senate. Dr. Goff and Jordon Andrade, the co-chairs, outlined the directions these efforts would take, some outward facing (education/outreach) and some inward (technical/support infrastructure). It was agreed to examine how these initiatives have been enacted at other schools, and how the values, concerns and goals of a variety of groups might be considered across disciplines and professions within the university. Recruiting efforts for a project manager began shortly thereafter.

With an aim to present recommendations to the Faculty Senate at its October 2011 meeting, the Task Force had a short timeline in which to accomplish several complex and distinct initiatives. In addition to compiling research and information on open access and changes in the scholarly communication paradigm, early in its inception the Task Force was working closely with the University Libraries on the development of an Institutional Repository, which would provide some technical infrastructure for these developments at Florida State. Much of the Task Force's initial work was dedicated to conceptualizing the institutional repository, which was a repository software product purchased from Berkeley Electronic Press, including its naming and what types of content it could and would include. Technical development of the institutional repository was placed in the library's Digital Library Center, headed by Plato Smith, also a member of the Task Force. Smith began early outreach to select faculty around campus to ingest some of their articles and research for the purposes of testing the system. The focus then shifted to constructing a solid, consistent message on the future of scholarly publishing as well as compiling and creating resources in support of education and outreach. Even with that dedicated goal, defining the complex range of issues that relate to the scholarly publishing model was a large portion of the Task Force's work. Author's copyrights, peer review and quality control, promotion and tenure concerns and misconceptions of open access all required extensive research and knowledge-building throughout the duration of the Task Force.

The majority of the work conducted by the Task Force was completed over the summer of 2011 as the project manager, Micah Vandegrift, was hired in late April and began work in mid-May. This time frame provided some challenges to the Task Force's forward motion as many faculty and key stakeholders were away from campus on and off. Compounding that, the University was in the midst of hiring a new Provost and working with an interim Dean of Faculties. These two offices were consulted in the summer, but many details were tentative pending final decisions on how those offices would be filled in coming months. The libraries also undertook a search for a new Associate Dean of Digital Scholarship and Technology Services during the summer, and the candidate who would fill that role would provide key administrative oversight to the Task Force from the University Libraries side. These changes in senior leadership, along with lowered levels of participation in the summer, added to the work of the Task Force.

Finally, the technicalities of doing this work in the university, as an organization, contributed several challenges. As charged, the Task Force decided to create and disseminate a survey on scholarly publishing practices as part of an environmental scan. Aside from the practical compilation of questions, which the Task Force revised extensively over several months, the survey had to be approved through the Human Subjects Board and administered through the Provosts Office, both steps that also led to a lengthened process of data collection and analysis. At the same time, the Task Force developed a plan to meet with a variety of faculty members and administrators as the backbone of its outreach and educational efforts.

### **3.3 Initiatives and Outreach**

An early timeline was developed in March, laying out the proposed work of the project manager and goals along the way. That first timeline included conducting two different surveys, launching the Institutional Repository, and the compilation of two reports (mid-term and final) from the project manager between April and October. The timeline was revised and detailed in July to account for the inclusion of the project manager and the re-framing of priorities for the Task Force. [See Appendix C for revised timeline]. Unaccounted for on the planned timeline were the administrative tasks necessary in preparing this type of initiative. Below is an outline of the major events, decisions and meetings that evolved through the Task Force's work.

#### **2010**

- October 13 - Presentation on Scholarly Communications given to Faculty Senate Library Committee.

#### **2011**

- February 18 - First meeting of Task Force.
- March 18 - Purchase of Digital Commons Institutional Repository software completed.
- April 12 - Micah Vandegrift hired as Project Manager, to begin work May 16.
- April 29 - First draft of the text for the survey was presented and discussed.
- June 29 - Task Force decided to focus on an open access resolution, emphasizing self-archiving and modeling after University of Kansas implementation with language from Duke's policy.
- July 1 - Dr. Goff and Micah Vandegrift met with the Faculty Senate President, Dr. Sandra Lewis, mainly informational.

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- July 13 - Dr. Goff and Micah Vandegrift met with Dr. Bob Bradley, Interim Provost; he was supportive and interested and suggested some further meetings with administrators to take.
- July 18th - Dr. Goff, Jordon Andrade and Micah Vandegrift met with Julia Zimmerman, Dean of University Libraries to discuss strategies for continued outreach at administrative levels.
- July 19 - Dr. Goff met with Jennifer Buchanan, Interim Dean of the Faculties to discuss digital scholarship in terms of Promotion and Tenure.
- July 21 – Dr. Goff gave a presentation to the Council of Deans, as invited by Interim Provost Dr. Bradley. Provided context and overview of the Task Force’s research, charge and goals.
- July 22 – Dr. Goff met with Associate Vice President for Research, Dr. Ross Ellington. Discussion about data management and how the library could work with the Office of Research.
- July 26 - First meeting (conference call) of the Florida Scholarly Communications Interest Group (FLA-SCIG) established by Christine Ross, Scholarly Communications Librarian at the University of Florida.
- August 16 - **First draft of the open access resolution was presented and discussed**; decision made to eliminate the ‘legalese’ that characterizes many other open access policies and make this a soft endorsement of open access in principle. [Refer to Appendix E].
- August 24 - Task Force meeting dedicated to finalizing a solid draft of the open access resolution. **This second draft of the open access resolution was approved by the Task Force.**
- August 26 – Dr. Goff and Micah Vandegrift met with the Faculty Senate Steering Committee; presented same talk that was given to the Council of Deans including the new draft of the open access resolution.
- September 9 - FSU officially invited to join the Coalition of Open Access Policy Institutions (COAPI).
- September 8 - Subcommittee of the Task Force met to finalize a new version of the survey, drafted by Project Manager.
- September 12 – Micah Vandegrift and Dr. Paul Fyfe, English Faculty Task Force member, presented the Task Force’s work to the Humanities Area Chairs; Task Force Co-Chairs presented the Task Force’s work to the Science Area Chairs.
- September 12 - Interim Provost Dr. Bob Bradley contacted the Task Force regarding a suggested change in the language of the open access resolution; the text quoted a university mission statement from the Board of Governors 2005-2013 Strategic Plan, as noted in the 2011-2012 Faculty Handbook, instead of the stated mission of the University.
- September 14 - Task Force met and adapted the language of the open access resolution to reflect the Mission Statement as noted in the Registrar’s 2011-2012 Bulletin, **third draft of the open access resolution approved by the Task Force.**
- September 26 - Survey emailed out to Faculty via the Office of the Provost’s importantannouncements@fsu.edu email account.
- September 28 - Emily Gore, Associate Dean of Digital Scholarship and Technology Services, joins the Task Force for a meeting.
- October 7 - Survey closed with 731 respondents; survey results are compiled in the following section. [See Appendix G for full results]
- October 12 - Final Task Force meeting prior to the presentation of the proposed resolution to the faculty senate.
- October 19 – Task Force presented their work and proposed resolution to the Faculty Senate. The open access resolution was unanimously approved. (See Appendix E for full resolution as presented).

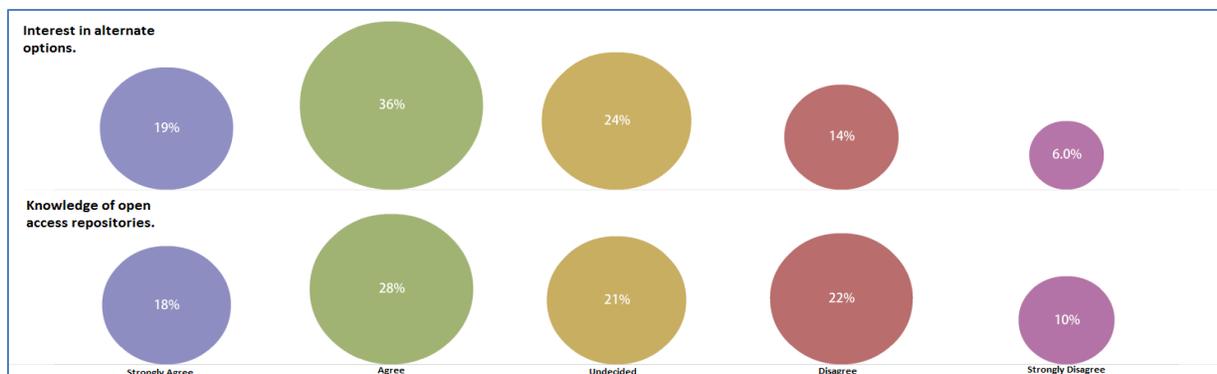
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- October 24-30 – Open Access Week @ FSU. Three events were held; a lecture on Creative Commons, a discussion about open educational resources and open textbooks, and a symposium on the Future of Scholarly Publishing.
- November 7-9 – Micah Vandegrift represented FSU at the first meeting of COAPI (Coalition of Open Access Policy Institutions) in Washington, D.C.
- November 30 – Micah Vandegrift was hired as Scholarly Communications Librarian to continue the work of the task force and build a scholarly communications office in Florida State University Libraries.

### 3.4 Environmental Scan – Data analysis

As part of the Task Force’s charge to conduct an environmental scan of FSU faculty involvement in scholarly publishing, a seven-question survey was emailed to FSU faculty members on September 26, 2011. Out of a total of 2,032 faculty members invited to complete the survey, 732 chose to participate, yielding a response rate of 36%. In addition to collecting information on current faculty publishing practices, the survey was designed to specifically illuminate faculty perceptions and level of awareness regarding open access in scholarly communications. The complete survey can be found in Appendix F with full results in Appendix G.

The survey results disclose several interesting trends. With 78% of survey participants agreeing or strongly agreeing that their research assignment at FSU depends upon the production of peer-reviewed scholarly works, it is clear that scholarly communications is of central importance to the career advancement of faculty at FSU. Furthermore, when asked about their objectives when publishing scholarly work, survey respondents most commonly selected “To communicate results to my peers” (69% strongly agree). Survey participants further elaborated on this point in the comments section of the survey by stating that in addition to exchanging ideas and communicating the results of research to their peers, part of their objective when publishing is to increase the level of understanding and awareness of their field among students, the general public, and policy makers. Some survey participants praised the potential of open access publishing to help disseminate research results quickly to this large audience.

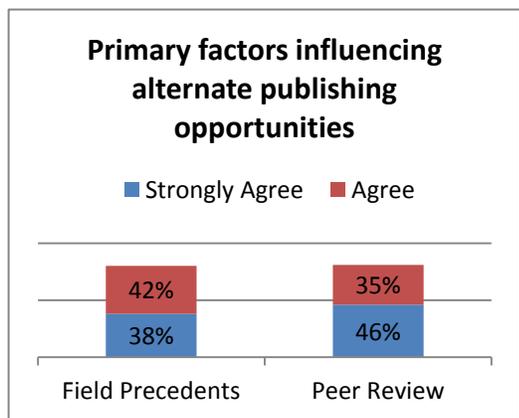


**53% of survey respondents had low levels of awareness concerning open access repositories, while 55% expressed interest in exploring alternate publishing options.**

The survey results also revealed a need for further education among faculty regarding publishing in Subject and Open Access institutional repositories, with 18% of faculty indicating that they are strongly aware of open access institutional repositories and 23% indicating that they are strongly aware of

subject repositories as alternate publishing venues. From the comments section of the survey, it is also apparent that misconceptions exist among some faculty regarding archiving their work in institutional repositories. For example, some faculty members expressed concerns about possible copyright infringement, lack of editorial standards, and the perceived low prestige of open access publishing among academics.

When asked whether or not they were interested in alternate methods of sharing their work, 55% of faculty responded that they agreed or strongly agreed that they were interested, and 24% revealed that they were undecided. As a follow-up to this question, faculty members were asked to indicate which



factors may influence their decision to pursue alternate open access publishing opportunities. Concerns regarding peer-review (46% strongly agree) and field precedents (38% strongly agree) ranked highest among these factors. Several faculty members expressed concerns over the quality and impact of the works available in open access venues and they questioned their permanence and sustainability. Additionally, numerous comments were provided regarding the lack of weight or omission of scholarly works published in open access platforms (e.g., FSU’s institutional repository) in the University’s promotion and tenure guidelines.

The survey data confirms low levels of awareness and understanding of the different types of open access, in addition to revealing commonly held concerns and misconceptions about open access in scholarly communications. However the Task Force was encouraged that a majority of the survey respondents are interested in exploring alternate methods of sharing their work, such as open access journals, subject repositories, open access institutional repositories, and posting to a departmental or personal website. [See Appendix G for full results]

### 3.5 Final Outcome - Open Access Resolution

The culmination of the Task Force’s work was the passage of an Open Access Resolution by the Faculty Senate. This endorsement validates scholarly communications as a priority on campus and supports the continued efforts within the libraries and faculty bodies to explore open access as an option for disseminating scholarly works. Primarily, passing this resolution sets FSU in the company of many other partner institutions who have passed similar policies, including the University of North Texas, Massachusetts Institute for Technology and the University of Pennsylvania. The resolution, as passed, is a first step in the process of adapting scholarly publishing to the digital age, and combined with outreach and educational efforts this resolution has the potential to keep FSU at the forefront of Research 1 institutions.

**See Appendix E for the text of the resolution.**

#### **4. Recommendations for continued development**

The Task Force officially concluded its work in October 2011. At its October 12<sup>th</sup> meeting, the Faculty Senate Library Committee recommended a continuation of the task force for two years to further explore how scholarly communications will affect Florida State University. The second iteration of the task force is currently being developed under the direction of Emily Gore, Associate Dean of Digital Scholarship and Technology Services and Micah Vandegrift, the newly hired Scholarly Communications Librarian, and will be led by a faculty and librarian co-chair partnership. The following recommendations are general ideas meant to provide some early groundwork for future collaborative teams to build upon.

Based on successes and warnings from schools that have been through this process, laying out some ideas for continued development will ensure a level of efficiency in FSU's Scholarly Communication initiative. Some of the proposed areas below are ongoing efforts within the libraries and on campus. The recommendations are largely focused on the planning stages of a robust scholarly communications program. Once in full swing, priorities and challenges may dictate different goals or substantial focus necessary for the furtherance of this new area on campus.

##### **4.1 Proposed Areas of Development**

###### **Area One – Research and information gathering.**

In order to effectively pursue a continued scholarly communications initiative, research and information gathering must remain a priority. The initial phrase and continuing effectiveness of such an initiative at FSU will depend upon staying aware of current movements and trends in higher education, copyright policy for scholarship, technological advancements that intersect with scholarly communications goals, policies and funding, and developing and maintaining relationships with other scholarly communication offices, stakeholders and administrators on campus, and most importantly faculty bodies and individual faculty members. Additionally, conducting follow-up interviews and analysis of the Scholarly Communications survey that was conducted as part of the task force's environmental scan will be a useful and primary resource for information gathering.

Primary goal – remain engaged with current scholarly communication issues on campus and broadly in higher education.

###### **Area Two – Education and Outreach**

Conducting informational and educational outreach must also remain a continuing priority. Establishing information materials, an active and useful web presence, and regular contact with interested parties will all characterize this phase. The initiative must build connections with campus offices invested in the communication of scholarly research and the broad dissemination of faculty work.

Primary goal – build communication channels and spread useful information.

###### **Area Three – Resolution Implementation and IR Development**

The scholarly communications office, in consultation with administration, faculty and related offices within the libraries, will define how the open access resolution and the institutional repository will be utilized as tools in the evolution of scholarly publishing at FSU. For instance, early decisions will have to be made as to what types of content will be included in the repository and how the open access

resolution will be observed across disparate disciplines. Some issues to consider: IR collection development policies, versioning of articles to archive, manual vs. automatic deposits, staff and faculty training, faculty involvement and oversight on policy implementation, and technical infrastructure.

Primary goal – effective use of the IR and OA resolution.

#### **Area Four – Institutional Collaborations and Partnerships**

Much development of a scholarly communication program can be drawn from the existing work at other institutions, building on research and information gathering. Working with groups like FLA-SCIG and COAPI and establishing contacts with the Association of Research Libraries and other larger professional organizations will facilitate FSU's development of its own robust scholarly communications initiative.

1. Continued interaction and active participation in the following groups outside the structure of the university will further the goals of the Scholarly Communications initiative on FSU campus:

Coalition of Open Access Policy Institutions, Association of College and Research Libraries, Association of Research Libraries, Scholarly Publishing and Academic Resources Coalition, Florida Scholarly Communications Interest Group, and others to be identified.

2. Building contacts with key offices within the University is another aspect of an effective scholarly communications initiative. Creating partnerships with administrative offices is necessary in order to accomplish the wide-reaching and culture-changing work that scholarly communication actually entails. Below are some offices that have been identified as potential early collaborative partners:

Office of the Provost, Dean of the Faculties, Office of Faculty Recognition, Office of Research, Office of University Communications, University Libraries, Department of High Performance Computing, Faculty Senate, Graduate Student Union, Student Government Association, and select Registered Student Organizations.

#### **Future Goals**

##### Short Term (6-12 months)

- Establish a new task force to continue to foster collaboration and dialogue between faculty, graduate students and librarians concerning issues surrounding scholarly communications.
- Begin to integrate scholarly communications into the library's scholarly outreach programs.
- Develop training materials and sessions on scholarly communications, open access and the institutional repository for departmental liaison librarians, faculty and graduate students.
- Conduct targeted outreach and educational campaigns to select departments as identified by preliminary research of the Scholarly Communications Librarian and Associate Dean of Digital Scholarship and Technical Services.

##### Long Term (2-3 years)

- Develop scholarly communications as an active, effective area of collaboration between the libraries and faculty of FSU.
- Integrate scholarly communications fully into the mission and work of the library and university scholarly community.

- Introduce broad outreach and educational campaigns to departments, colleges and research institutes.
- Revise the open access resolution to reflect the desires and goals of Florida State University and its faculty in regards to open access.

#### **4.2 Technical Infrastructure Needs**

Development of the institutional repository is the primary technical need. Without it the open access resolution cannot be fully implemented. Under the direction of Emily Gore, Associate Dean of Digital Scholarship and Technology Services, the IR will continue to be developed with the digital library team and scholarly communications office. In addition to a functional IR, potential infrastructure needs include web development and data management and more. This is a crucial area that will have to be explored extensively over time, in line with the goals of the university libraries and Florida State University.

#### **4.3 Support Needs**

A robust scholarly communications initiative, in all its aspects, would best be facilitated by establishing a dedicated Scholarly Communications Office to offer assistance on a range of issues. Topics would include: copyright negotiations and authors rights to their works, open access publishing funds, training on self-archiving in the IR, technical support, marketing and communications for digital scholarship, tools and methods of scholarly communication, support and advocacy for the libraries role in collaborative scholarship and more. This office should be headed by a Scholarly Communications Librarian with a finger on the pulse of the field and broad interests in topics surrounding new models of scholarship.

### **5. Conclusion**

Scholarly Communications is a growing area of focus for many research libraries and universities. In addition, the movement toward open access for scholarly works is gaining prestige and support from funding agencies, universities, faculty bodies, and governments. As FSU seeks to continue to be a leader in higher education, establishing a Task Force and passing a resolution in support of open access efforts on campus is a progressive step. Florida State University can continue its leadership role by developing a scholarly communications initiative in line with its peer and prestige institutions, dedicated to facilitating new information practices, institutional support for them, and wide distribution of the intellectual, scholarly output of the university.

## Appendices

### Appendix A: Task Force Membership

**Jordon Andrade - E-Science Librarian (co-chair)**

**Matthew Goff - Faculty, Department of Religion (co-chair)**

**Micah Vandegrift - Project Manager**

Patricia Bingham-Harper - Librarian, College of Law Research Center

Kenneth Baldauf - Faculty, Director - Program in Interdisciplinary Computing

Gary Burnett - Faculty, School of Library and Information Studies

Naresh Dalal - Faculty, Department of Chemistry and Biochemistry

Paul Fyfe - Faculty, Department of English

Max Gunzburger - Faculty, Chair - Department of Scientific Computing

Charles Hofacker - Faculty, Department of Marketing

Faye Jones - Faculty, Director - College of Law Research Center

Owen Mundy - Faculty, School of Art and Design

Mark Riley - Faculty, Chair - Department of Physics

James Sampson - Associate Dean, Faculty - College of Education

Barbara Shearer - Librarian, Director - Medical Library

Plato Smith - Librarian, Digital Library Production Head

Besiki Stvilia - Faculty, School of Library and Information Studies

Shenifa Taite - Instructional Designer, College of Medicine

Dennis Tsilimingras - Faculty, College of Medicine

Roxann Williams - Librarian, Special Projects - Medical Library

## Appendix B: Task Force Mission Statement

Joint faculty-librarian effort, with one co-chair in each area. Formed in January 2011 with wide distribution of committee membership—faculty and librarians from sciences, humanities, law, business.

Charge:

- Conduct an environmental scan of FSU faculty involvement in scholarly publishing
- Increase awareness of scholarly communication issues on campus
- Explore support for copyright assistance and open-access initiatives with FSU administration
- Make recommendations to the Faculty Senate about scholarly communication initiatives and/or policies

### **Goal 1: Conduct an environmental scan of faculty familiarity with open access.**

Objective – Create and disseminate a survey.

Objective – Create a brief report based on data collected from the survey.

### **Goal 2: Educate Faculty and Administration on OA Issues**

Objective – Create and develop a web space of information on open access as it relates to peer-review, promotion and tenure, copyright, intellectual property, and the uses and value of an institutional repository.

Objective – Work with Graduate Scholars Commons librarians to plan and implement the annual Open Access Week events.

Objective - Identify outreach activities for instructional opportunities to promote scholarly communications.

### **Goal 3: Pass an open access resolution.**

Objective - Research scholarly communications and open access programs at peer institutions for inspirations and development models.

Objective - Compile a report to be submitted to the Faculty Senate for the purpose of adopting an open access resolution announcing official institutional support.

Objective – create sample policy text to be presented.

## Appendix C: Task Force Timeline

### July 2011

Ongoing – Project Manager builds Libguide on Scholarly Communications, Open Access, Copyright, etc., and conducts interviews with faculty around campus to get a sense of their familiarity and knowledge of changing scholarly publishing models.

July 11 – Task Force meeting: updates and future directions

July 15 – Meeting with Graduate Scholars Commons librarians to discuss future collaborations and events (Open Access week).

### August 2011

Ongoing – Project Manager researches, writes and continues to contribute to report on developing scholarly Communications initiatives, including further development of libguide and informational literature on related issues.

August 18 – Meeting with Library departmental liaisons to discuss outreach and offer them support and knowledge on Scholarly Communications initiatives and related issues.

August 26 – Faculty Senate President Sandra Lewis presents the topic of an OA policy to the Faculty Senate Steering Committee. Soon after, her response should be expected, including an invitation to the next steering committee meeting, leading up to addressing the full senate.

August 29 – Fall Semester begins

### September 2011

Ongoing – Project Manager conducts further outreach efforts with faculty, library liaisons, and other interested offices in preparation for Open Access Week, and to better inform the final report/environmental scan.

September 7 – Open Access Survey sent out

September 16 – Survey reminder sent out

\*Note – September 23 – 1<sup>st</sup> Faculty Senate Meeting of the Fall 2011 Semester\*

September 23 – Collect data from survey

### October 2011

Ongoing – Project Manager compiles survey data and research into a report from which a summary will be produced to be presented to the faculty senate.

## Florida State University Task Force on Scholarly Communications

October 7 – Scholarly Communications at FSU Report due. Task Force will review and recommend any edits.

October 19 – Faculty Senate meeting, 3:35 pm, Dodd Hall Auditorium. Scholarly Communications Task Force will present our report and recommend that the Faculty Senate adopt an Open Access Resolution, indicating the faculty's support of, and investment in, the future adaptations of scholarly publishing at FSU.

October 24-30 – Open Access Week. Events, lectures, discussions will be held around campus, and centrally in the library. Focus events on 3 groups; students, graduate students and faculty.

November 2011

Ongoing – Project Manager will compile all data, information and research into a publication.

## Appendix D: Detailed Summary of Minutes and Outreach

### 2010

- October 13 - Presentation on Scholarly Communications given to Faculty Senate Library Committee.
- November 16 - Memo from Dennis Moore to Faculty Senate Library Committee affirming the motion to develop a Task Force and beginning to lay out some issues it will explore.

### 2011

- January - Task Force leadership and membership officially solidified.
- February 18 - First meeting of Task Force.
- March 18 - Purchase of Digital Commons Institutional Repository software completed.
- April 12 - Micah Vandegrift hired as Project Manager, to begin work May 16th; search for Associate Dean of Digital Scholarship and Technical Services was begun in the Libraries; FSU President Eric Barron expressed his interest in naming the Institutional Repository "DigiNole Commons."
- April 29 - First draft of the text for the survey was presented and discussed; Sammie Morris (Associate Dean of Special Collections) announced plans to leave FSU.
- June 29 - Project Manager presentation and recommendations for moving forward; Task Force decided to focus on an open access resolution, emphasizing self-archiving and modeling after University of Kansas implementation with language from Duke's policy; focus of the Task Force diverted from the institutional repository to education and outreach.
- July 1 - Dr. Goff and Micah Vandegrift met with the Faculty Senate President, Dr. Sandra Lewis, mainly informational.
- July 13 - Dr. Goff and Micah Vandegrift met with Dr. Bob Bradley, Interim Provost; he was supportive and interested and suggested some further meetings with administrators to take.
- July 15th – Micah Vandegrift met with librarians working in the Scholars Commons area at FSU Strozier Library; beginning planning for Open Access Week 2011.
- July 18th - Dr. Goff, Jordon Andrade and Micah Vandegrift met with Julia Zimmerman, Dean of University Libraries to discuss strategies for continued outreach at administrative levels.
- July 19 - Dr. Goff met with Jennifer Buchanan, Interim Dean of the Faculties to discuss digital scholarship in terms of Promotion and Tenure. She planned to begin discussions with the P&T board.
- July 20 – Micah Vandegrift met with staff from the Office of Faculty Recognition concerning possible interplay between the institutional repository and their campus-wide CV Database project.
- July 21 – Dr. Goff gave a presentation to the Council of Deans, as invited by Interim Provost Dr. Bradley. Jordon Andrade and Micah Vandegrift also attended. Provided context and overview of the Task Force's research, charge and goals. Responded to several challenging questions regarding the costs and misunderstandings of open access in the university.
- July 22 – Dr. Goff met with Associate Vice President for Research, Dr. Ross Ellington. Discussion about data management and how the library could work with the Office of Research.
- July 26 - First meeting (conference call) of the Florida Scholarly Communications Interest Group (FLA-SCIG) established by Christine Ross, Scholarly Communications Librarian at the University of

## Florida State University Task Force on Scholarly Communications

Florida. Included 15-20 interested people from public and private institutions around the state of Florida. Micah Vandegrift, Roxann Williams and Barbara Shearer attended.

- July 27 – Jordon Andrade and Micah Vandegrift presented to North Florida Library Association on “Exploring Scholarly Communications at FSU.” Valuable responses and discussion from attendees.
- August 4 – Micah Vandegrift and Jordon Andrade had a phone conversation with Ada Emmett, Scholarly Communications Librarian at University of Kansas concerning the recently founded Coalition of Open Access Policy Institutions (COAPI). FSU expressed interest in joining and were added to the interest list.
- August 16 - At a Task Force meeting the original survey text (developed in March) was scrapped in response to Project Manager’s recommendation that it is too broad-reaching and unfocused on primary points; **first draft of the open access resolution was presented and discussed**; decision made to eliminate the ‘legalese’ that characterizes many other open access policies and make this a soft endorsement of open access in principle. [Refer to appendices D and E].
- August 18 – Micah Vandegrift gave a presentation to the FSU Library Departmental Liaisons on the Task Force’s work, and how open access could be included in liaison outreach to academic departments.
- August 24 - Task Force meeting dedicated to finalizing a solid draft of the open access resolution; Mission of the University was included, and contextual paragraphs were fleshed out. **This second draft of the open access resolution was approved by the Task Force.**
- August 26 – Dr. Goff and Micah Vandegrift met with the Faculty Senate Steering Committee; presented same pitch that was given to the Council of Deans including the draft of the open access policy that the Task Force had approved at the August 24<sup>th</sup> meeting.
- September 9 - FSU officially invited to join the Coalition of Open Access Policy Institutions (COAPI).
- September 8 - Subcommittee of the Task Force met to finalize a new version of the survey, drafted by Project Manager. Approved and subsequently sent to Institutional Review Board for approval. The Survey Subcommittee was comprised of Shenifa Taite, Barbara Shearer, Roxann Williams, Jordon Andrade and Micah Vandegrift.
- September 12 – Micah Vandegrift and Dr. Paul Fyfe, English Faculty Task Force member, presented the Task Force’s work to the Humanities Area Chairs; the Humanities Area Chairs recognized this initiative as keeping FSU in line with peer institutions; Task Force Co-Chairs presented the Task Force’s work to the Science Area Chairs; noticed that sciences were familiar and needed more detailed information than convincing.
- September 12 - Interim Provost Dr. Bob Bradley contacted the Task Force regarding a suggested change in the language of the open access resolution; the text quoted a university mission statement from the Board of Governors 2005-2013 Strategic Plan, as noted in the 2011-2012 Faculty Handbook, instead of the stated mission of the University.
- September 13 - IRB approved new version of the Survey; Micah Vandegrift met with the Center for Participant Education, a Registered Student Organization of Florida State’s Student Government Association, concerning collaborations with them for Open Access Week.
- September 14 - Task Force met and adapted the language of the open access resolution to reflect the Mission Statement as noted in the Registrar’s 2011-2012 Bulletin, **third draft of the open access resolution approved by the Task Force**; primary event for Open Access Week was scheduled for Oct 28th, planned by Project Manager and Librarians.
- September 26 - Survey emailed out to Faculty via the Office of the Provost’s importantannouncements@fsu.edu email account.

## Florida State University Task Force on Scholarly Communications

- September 28 - Emily Gore, Associate Dean of Digital Scholarship and Technology Services, joins the Task Force for a meeting; began discussion on Task Force Final Report.
- October 5 - Survey reminder emailed out to Faculty via the Office of the Provost's importantannouncements@fsu.edu email account.
- October 7 - Survey closed with 731 respondents; survey results are compiled in the following section. [See Appendix F for full results]
- October 11 – Micah Vandegrift met with Jennifer Feltman, Coordinator of the Preparing Future Faculty seminar series in the Graduate School to discuss possible seminars on scholarly communications and open access in the future; Vandegrift also met with Dr. Jeanette De Diemar, Assistant Vice President for University Relations in the University Communications office to begin building contacts with that office.
- October 12 - Final Task Force meeting prior to the presentation of the proposed resolution to the faculty senate. Discussed how the scholarly communications initiative would be continued on campus - hire of scholarly communications librarian and potential of new Task Force with different goals; several Task Force members attended meeting of the Faculty Senate Library Committee where that committee moved to continue investing in scholarly communications through a task force for another two years.
- October 19 – Task Force presented our work and proposed resolution to the Faculty Senate. The open access resolution was unanimously approved. (See Appendix D for full resolution as presented).
- October 24-30 – Open Access Week @ FSU. Three events were held; a lecture on Creative Commons, a discussion about open educational resources and open textbooks, and a symposium on the Future of Scholarly Publishing.
- November 4 – Micah Vandegrift attended the Graduate Education Meeting Committee and updated that group on the task force's work and continued development.
- November 7-9 – Micah Vandegrift represented FSU at the first meeting of COAPI (Coalition of Open Access Policy Institutions) in Washington, D.C.
- November 30 – Micah Vandegrift was hired as Scholarly Communications Librarian to continue the work of the task force and build a scholarly communications office in Florida State University Libraries.

## Appendix E: FSU Open Access Resolution

### THE FLORIDA STATE UNIVERSITY FACULTY SENATE - OPEN ACCESS RESOLUTION

Approved by Faculty Senate, Oct. 19, 2011

The faculty of The Florida State University is committed to disseminating its research and scholarship as widely as possible. This resolution is intended both to confirm the public benefit of such dissemination and to serve faculty interests by promoting greater reach and impact for scholarly publications. In keeping with these commitments, the Faculty Senate adopts the following resolution.

#### Resolution

**The Faculty Senate of The Florida State University, consistent with the University's mission to "preserve, expand and disseminate knowledge" and to provide broad access to institutional resources and services, endorses the storage and preservation of scholarly publications in The Florida State University's open access institutional repository.**

This resolution aims to extend the university's mission into the digital age. Its goals are to remove access barriers to publicly-funded scholarship, to centralize the University's intellectual output while maintaining quality filters and supporting established publishing opportunities, and to support faculty who wish to pursue open access publishing whenever consistent with their professional goals.

#### Resolution Implementation

Implementation of this resolution is dependent on the foundation and development of infrastructure, including a university library-supported institutional repository and Scholarly Communications staff who will coordinate and facilitate the digital collection process for faculty. The Faculty Senate calls upon the Faculty Senate Library Committee and the Florida State University Libraries to explore and address the implementation of this resolution, including the needs to:

- protect authors' intellectual property
- maintain Florida State University standards for Promotion and Tenure
- promote quality and prestige in scholarly publishing
- develop policies and procedures for the governance of this resolution
- explore scholarship publishing in emerging platforms and digital contexts

The Faculty Senate, Dean of the Faculties and the Dean of the University Libraries will be responsible for interpreting this resolution. The resolution and its implementation will be reviewed yearly in conjunction with the Faculty Senate Library Committee with a report presented to the Faculty Senate.

## **Appendix F: Scholarly Communications Survey**

All FSU faculty members are being asked to participate in this study to assist the newly formed university-wide task force charged with investigating scholarly communication and open access issues at FSU. We ask that you read this statement of consent and ask any questions you may have before agreeing to participate.

Participation in this 5 question study is voluntary. We estimate it will take you no more than 2-3 minutes to complete.

The study is being conducted Dr. Matthew Goff, Associate Professor of Religion and Director of Undergraduate Studies in the Department of Religion, and Jordon Andrade, MSLIS, E-Science Librarian of FSU Libraries, and FSU's Scholarly Communications Task Force, a task force comprised of FSU faculty members across a range of disciplines.

The confidentiality of participants' responses is protected to the extent allowed by law. The respondents' survey data will only be shared among members of the research team. For the purposes of publication, survey data will be reported in aggregate and no personal identification will be provided. You will be given an option in the survey to provide your name for later follow-up and to help us form a network of potential contributors to an open access digital repository at FSU.

If you choose to participate, you are agreeing to allow your responses to be used for research, publication and presentation purposes. You will not receive any compensation for participating in this study. Due to the ongoing nature of this research project, data will be kept permanently on the FSU Library's server.

If you have any questions regarding this survey or the open access institutional repository, please contact Dr. Matthew Goff, [mgoff@fsu.edu](mailto:mgoff@fsu.edu) or Jordon Andrade, [jandrade@fsu.edu](mailto:jandrade@fsu.edu), 850-645-9597. In addition, if you have any questions about your rights as a participant in any research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Committee, Institutional Review Board, through the Vice President for the Office of Research at 850-644-8633 or at [humansubjects@magnet.fsu.edu](mailto:humansubjects@magnet.fsu.edu).

By completing this survey, you will be consenting to let your responses be used for the purposes of the research described in this survey and agree to the following statements regarding informed consent.

I have read the above informed consent explanation. I understand that I may withdraw my consent at any time without penalty or loss of benefits to which I may otherwise be entitled. By completing this survey, I am not waiving any legal claims, rights or remedies.

Do you wish to provide your consent and proceed with the survey?

**1. Please indicate your College:**

- College of Arts & Sciences
- College of Business
- College of Communication and Information
- College of Criminology and Criminal Justice
- College of Education
- FAMU/FSU College of Engineering
- College of Human Sciences
- College of Law
- College of Medicine
- College of Motion Picture Arts
- College of Music
- College of Nursing
- College of Social Sciences and Public Policy
- College of Social Work
- College of Visual Arts, Theatre and Dance
- Other

**2. Please indicate your Department/Program or other institutional affiliation:**

**3. Please indicate your academic rank:**

- Professor
- Associate Professor
- Assistant Professor
- Adjunct
- Associate in
- Assistant in
- Instructor
- Research Associate
- Other:

**1. My research assignment at FSU depends upon the production of peer-reviewed scholarly works.**

Strongly agree – Agree – Neutral – Disagree – Strongly Disagree

**2. My objectives when publishing scholarly work are:**

Strongly agree – Agree – Neutral – Disagree – Strongly Disagree

- To communicate results to my peers
- To advance my career
- For personal prestige in my field
- To increase my chances of gaining funding
- For direct financial reward

**2.B Other objectives for sharing my scholarship**

- Other \_\_\_\_\_

**3. I am aware of these methods of publishing and/or sharing my work aside from traditional print publication.**

Strongly agree – Agree – Neutral – Disagree – Strongly Disagree

- Posting to a departmental or personal website
- Subject repositories (ex. Arxiv, Social Science Research Network (SSRN), NINES)
- Open access institutional repositories
- Open access journals

**4. I am interested in alternate methods of sharing my scholarly work (see question 3 for examples).**

Strongly agree – Agree – Neutral – Disagree – Strongly Disagree

**5. The following factors influence my scholarly publishing decisions in regards to open access:**

Strongly agree – Agree – Neutral – Disagree – Strongly Disagree

- Precedents in my field
- Prestige of open access opportunities
- Impact of open access opportunities
- Publication fees
- Peer-review
- Promotion and tenure requirements
- I am satisfied with my current publishing practices
- Other \_\_\_\_\_

**6. Do you have any additional comments about scholarly communication in general or at FSU?**

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**7. If you are interested in follow-ups about scholarly communication, please enter your name and email address.**

## Appendix G: Scholarly Communications Survey Results

### Demographics

College	%	Total		Rank	%	Total
Arts and Sciences	36.9	259		Professor	35.1	246
Business	4.9	34		Associate Professor	22.9	160
Communication and Information	4.9	34		Assistant Professor	16.7	117
Criminology and Criminal Justice	0.7	5		Adjunct	5.6	39
Education	8	56		Associate in	3	21
Engineering	3.9	27		Assistant in	4.6	32
Human Sciences	2.9	20		Instructor	2	14
Law	3	21		Research Associate	2.1	15
Medicine	7.8	55		Other	8	56
Motion Picture Arts	0	0				
Music	4.1	29				
Nursing	1.4	10				
Social Sciences and Public Policy	9.6	67				
Social Work	2.1	15				
Visual Arts, Theatre and Dance	3.7	26				
Other	6.4	45				

**Responses**

**1. My research assignment at FSU depends on the production of peer-reviewed scholarly works.**

Strongly Agree: 341 (56.8%)    Agree: 123 (20.5%)    Neutral: 64 (10.7%)

Disagree: 41 (6.8%)    Strongly Disagree: 31 (5.2%)

**2. My objectives when publishing scholarly work are:**

	Career advancement	Personal prestige	Increased funding opportunities	Direct financial reward	Communicate results to my peers
Strongly Agree	300 (49.8%)	222 (37.8%)	194 (33%)	33 (5.7%)	423 (69.3%)
Agree	229 (38%)	271 (46.1%)	212 (36.1%)	82 (14.2%)	164 (26.9%)
Undecided	22 (3.6%)	36 (6.1%)	59 (10.1%)	58 (10%)	14 (2.3%)
Disagree	40 (6.6%)	41 (7%)	82 (14%)	211 (36.5%)	6 (1%)
Strongly Disagree	12 (2%)	18 (3.1%)	40 (6.8%)	194 (33.6%)	3 (0.5%)

**3. I am aware of these methods of publishing and/or sharing my work aside from traditional print publication:**

	Posting to a departmental or personal website	Subject repositories (ex. Arxiv, Social Science Research Network)	Open access institutional repositories	Open access journals
Strongly Agree	216 (36%)	134 (23%)	106 (17.7%)	207 (35.1%)
Agree	241 (40.2%)	136 (23.4%)	172 (28.8%)	232 (39.3%)
Undecided	58 (9.7%)	99 (17%)	128 (21.4%)	79 (13.4%)
Disagree	54 (9%)	137 (23.5%)	134 (22.4%)	50 (8.5%)
Strongly Disagree	31 (5.2%)	76 (13.1%)	58 (9.7%)	22 (3.7%)

**4. I am interested in alternate methods of sharing my scholarly work.**

Strongly Agree: 119 (19.2%)    Agree: 217 (36%)    Undecided: 148 (24.5%)

Disagree: 84 (13.9%)    Strongly Disagree: 38 (6.3%)

**5. The following factors influence my scholarly publishing decisions in regards to open access:**

	Field Precedent	Prestige of open access	Impact of open access	Publication fees	Peer-review	Promotion and Tenure requirements	Satisfied with current practices
Strongly Agree	228 (38.1%)	205 (35.3%)	198 (33.4%)	134 (22.8%)	271 (45.5%)	222 (38%)	146 (24.7%)
Agree	255 (42.6%)	218 (37.5%)	234 (39.5%)	180 (30.6%)	208 (34.9%)	143 (24.5%)	260 (44.1%)
Undecided	78 (13%)	100 (17.2%)	119 (20.1%)	136 (23.1%)	76 (12.8%)	84 (14.4%)	110 (18.6%)
Disagree	30 (5%)	41 (7.1%)	31 (5.2%)	94 (16%)	29 (4.9%)	97 (16.6%)	63 (10.7%)
Strongly Disagree	7 (1.2%)	17 (2.9%)	10 (1.7%)	45 (7.6%)	12 (2%)	38 (6.5%)	11 (1.9%)

## Appendix H: Sample Presentation Handout

### Scholarly Communications at FSU

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#### The Basics of Scholarly Communications

- 23 of the 50 Public Research I Carnegie Universities have passed a resolution encouraging faculty to consider open access options.
- Wide dissemination of scholarship increases the visibility and prestige of the faculty and the university.
- Publicly-funded research should be made available to the public.
- Open Access is “...digital, online, free of charge and free of most copyright and licensing restrictions.” – Peter Suber
- Open access through self-archiving in an institutional repository is entirely compatible with current models of scholarly research, including peer review, promotion and tenure, academic freedom, and copyright.

#### The On-Going Work of the Task Force

- Conducting a survey on use and knowledge of open access to distribute to the faculty.
- Researching how other universities adjudicate open access policies in terms of tenure and promotion issues. A brief clause will be included in the open access resolution that stresses the value of upholding peer-review as the gold standard for tenure purposes and that open access publications must adhere to that standard.
- Developing sample text of an open access resolution to propose to the faculty senate, expressing faculty support for the implementation of the institutional repository at FSU and encouraging faculty to consider open access resources as a viable option for their scholarly output.
- Developing education and outreach initiatives: “how to” guides and informational documents to facilitate campus-wide comprehension of open access resources and issues.
- Working with the Library’s development team on an Institutional Repository — DigiNole Commons: Virtual Repository for Electronic Scholarship (ViRES).
- Concluding in November 2011 with a report outlining the task force’s work and recommendations for continued development of open access support here on campus.

## **Appendix I: Open Access Informational Handout**

**Adapted from University of Florida Open Access Elevator Pitch - Isabel Silver, July 19, 2011**

**Revised for FSU – Micah Vandegrift, August, 17 2011**

Selling Points:

There are two totally different types of Open Access. Self-archiving and publishing in OA Journals. (Most common misunderstanding of open access is that there is only one way to do it.)

You can still publish whenever, wherever, whatever and however you want and support open access. (Self-archiving in an OA repository is supported by all major publishers and many others.)

Open access is about allowing the public to have access to publically funded research. (Moral right to research.)

Open access is about removing barriers to access, and protecting quality filters. (Peer-review is protected and essential to academic scholarship, open access included.)

Open access supports the mission of Florida State University – “to identify, create, celebrate, and disseminate important knowledge... [and] encourage the dissemination and transfer of knowledge by providing broad access to institutional resources and services to the community and state.”

Open Access scholarly research is proven to have substantial increases in citation impact. (35% to 300% depending on the discipline. From Swan, A. “Open Access Citation Advantage” Feb. (2010) URI - <http://eprints.ecs.soton.ac.uk/id/eprint/18516>.)

Quality is different than prestige. Quality of a journal comes from the editorial board, the reviewers and the submitted articles. Prestige comes over time. (Open access does not mean lesser quality.)

Not all open access journals charge author side fees. In fact, a majority do not. Also, more funders and universities are finding ways to cover fees for an author who wishes to have their research openly accessible. (53% of open access journals do NOT charge author side fees. From “The Facts about Open Access”, 2005.)

Self-archiving is actually included in advanced permissions for a majority of journals these days. (Some allow pre-prints, some allow post-prints.)

Open Access makes plagiarism more easy to detect since the articles are freely searchable.

## **Appendix J: Scholarly Communications Informational Handout**

### **Scholarly Communication**

Scholarly Communication is the cycle of producing, sharing and consuming research in the academic environment.

With the development of web technologies and availability of digital resources, this cycle is evolving to include new approaches and ways of participating in Scholarly Communication. In fact, many major Universities (Harvard, Stanford, MIT, Duke) including some of our peer institutions (University of Florida, University of Kansas, Penn State) are exploring Scholarly Communication through their Faculty Senate's, Provost's initiatives and library offices and services. Currently, 23 of the 50 Public Research 1 universities are actively pursuing this by developing institutional policies relating to new modes of scholarly communication.

There are a variety of complicated issues involved in this evolution, including copyrights, peer review, Tenure and Promotion qualifications, and the ultimate "if it ain't broke..." argument. These issues will continue to be central to discussions about Scholarly Communication, but in no way hinder the important progress being made in this area.

### **Open Access**

One of the areas that Scholarly Communication is exploring is the application of the principle of Open Access in the promotion and distribution of scholarship. As this cycle is centered on the production, sharing and consuming of academic work, utilizing the web for some of these processes is a natural step. Open access means allowing scholarly publications (most often applying to articles accepted for publication in peer-reviewed journals) to be searchable on the open internet.

Many of the concerns and misunderstandings that arise when talking about open access need to be addressed, especially around the quality, prestige and legal details associated with placing academic research online. Often misdirected, these concerns about how open access actually works are addressed quite clearly in the literature of the open access community, and need to be relayed effectively and efficiently to faculty and other stakeholders on campus.

The factors pushing this shift toward exploring open access are as varied as the concerns: there is a moral argument for the public having access to research funded by public dollars; there is a professional argument that allowing open access to one's research is shown to produce increases in citation impact; there is a financial argument that as budgets shrink the journal subscription model is becoming unsustainable and affecting the quality and quantity of published research available through the campus library; and lastly there is a political argument that a centralized open access repository of an institution's scholarly output provides proof of the University's value to the community, state, and society.

The most basic application of the principle of open access is that first, faculty authors can and should retain copyright to their works (which is often signed away to journal publishers) and second, that the majority of publishers already allow the author to place a version of their article in an open access repository. Under this model, faculty authors still have total control over where, when, how and why they publish. The details of how these two processes happen are worked out in different ways at

different institutions, but as a baseline this is the easiest and broadest method of supporting open access.

### **Institutional Repository**

Storage of scholarly publications in an open access repository is a good first step for exploring open access. There are different types of open access repositories, including departmental, field-specific, or - as is common in universities - an institutional repository. An Institutional Repository (IR) is a digital, searchable, organized database populated with materials specific to the institution. For example - here at FSU we are developing an IR called DigiNole Commons, which will have collections of articles and materials produced by FSU faculty. The materials placed in this repository are searchable from search engines like Google and Bing, the library catalog, and also through the DigiNole Commons website.

Using an institutional repository introduces the faculty author to the concepts of open access while beginning to show the potential for greater reach for their research. An institutional repository also serves as a record of the body of work produced by the individual, and in some cases can be useful for promotion and tenure boards. Archiving versions of articles (and in the future other types of content), is a good professional practice that supports the University's goals as well as the individual's.

### **Open Access Resolution**

An open access resolution is the document by which many of these evolutions in the scholarly communications cycle become realized. Resolutions are meant to serve as an endorsement of the underlying principles at work in scholarly communications (faculty empowerment, the public good of access to research), while providing some clear goals for how open access will play out in the institution. Often an open access resolution is just the first step in the process of a university acknowledging that scholarly communications is an institutional priority.

Addressing open access and scholarly communications through an official statement like an open access resolution is a political move within the structures and guidelines of University governance. Typically, these resolutions are the product of a task force or working group and are ratified by the faculty senate. In some cases, the resolution is even developed and approved first by the Provost, then the faculty senate. Establishing an official policy on the books allows the evolution of the scholarly communication cycle to become part of the life of the university, as institutions of higher education embrace the digital age.