The NIH Mandate One Year On: How Are Libraries Responding?

Joseph Thomas
East Carolina University
National Institutes of Health Public Access Policy:

• See: http://publicaccess.nih.gov/
• Signed into law January 4, 2008; became permanent March 19, 2009
• Basic provisions: final peer-reviewed articles submitted to PubMed Central upon acceptance; freely available no later than 12 months after publication
Collecting Responses:

- **The Survey**: 25 questions, invitations via email to several librarian lists

- **Library Websites**: reviewed Web sites of 100 American ARL libraries and 52 academic libraries in NC

- **Contacts**: called/emailed librarians from several schools to discuss activities listed on library Web sites
The Survey:

- Demographics
- Methods of engaging campus on scholarly communication issues, which ones, and how effective librarians believe these have been
- Methods of engaging campus specifically on the NIH Public Access Policy, which issues, and how effective these have been
- Presence and growth of Institutional Repository, and whether the growth can be attributed to the NIH Public Access Policy
Snapshot 1:

- 54 respondents with usable data
- Significant numbers from research schools
- 1/3 Reference/liaison, 1/3 administration
  - Also CDV and Scholarly Comm librarians
- Serving:
  - 39 are central library
  - 10 vet/med libraries

![Institution Type Pie Chart]
Snapshot 2:

**Total Materials Budget**

- **Less than $250,000**: 7
- **$250,000 - $500,000**: 3
- **$500,000 - $1M**: 10
- **$1M - $3M**: 14
- **$3M - $5M**: 6
- **$5M - $10M**: 10
- **More than $10M**: 2

**Total Enrollment**

- **Fewer than 5,000**: 18
- **5,001 - 10,000**: 6
- **10,001 - 15,000**: 8
- **15,001 - 20,000**: 4
- **20,001 - 30,000**: 8
- **More than 30,000**: 10
Scholarly Communications: How are libraries engaging their schools?

- Outreach to individual faculty members: 40
- Web page: 36
- Outreach to groups/admin: 32
- News articles: 27
- Jointly-sponsored campus-wide events: 23
- Posted promotional materials: 23
- Committee with librarians and faculty: 18
- Library-sponsored campus-wide event: 14
Scholarly Communication: What content are libraries sharing?

<table>
<thead>
<tr>
<th>Content</th>
<th>By Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Copyright management</td>
<td>• Web site (7 of 10 topics)</td>
</tr>
<tr>
<td>• OA to view research</td>
<td>• Workshops for faculty</td>
</tr>
<tr>
<td>• Complying with NIH Mandate</td>
<td>• Emails to faculty:</td>
</tr>
<tr>
<td>• Serials inflation</td>
<td>▫ NIH (tie with Web)</td>
</tr>
<tr>
<td>• OA publishing opportunities</td>
<td>▫ Inflation of serials and e-resources</td>
</tr>
<tr>
<td>• Institutional repository</td>
<td>• Least used for all topics: Univ admin</td>
</tr>
<tr>
<td>• Least addressed: legislative advocacy</td>
<td></td>
</tr>
</tbody>
</table>
Scholarly Communications: How effective are these methods?

- Outreach to individual faculty: 52% effective or highly effective
- Outreach to groups/admin: 48% effective or highly effective
- Campus-wide events of both types seen as somewhat effective or effective
- Less effective: Web sites, committees with only librarians, and posted promotional materials
NIH Public Access Policy: How are libraries engaging their schools?

- Web page: 26
- Outreach to individual faculty members: 22
- Outreach to groups/admin: 22
- News articles: 18
- Jointly-sponsored campus-wide events: 13
- Posted promotional materials: 11
- Library-sponsored campus-wide event: 9
## NIH Public Access Policy: What content are libraries sharing?

<table>
<thead>
<tr>
<th>Content</th>
<th>By Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Complying with NIH Mandate</td>
<td>• Web site (all 10 topics)</td>
</tr>
<tr>
<td>• Copyright management</td>
<td>• Workshops for faculty and library</td>
</tr>
<tr>
<td>• OA to view research</td>
<td>• Promotional materials</td>
</tr>
<tr>
<td>• OA publishing opportunities</td>
<td>• Email to faculty seems to have followed Web site topics</td>
</tr>
<tr>
<td>• Institutional repository</td>
<td>• Presentations to university admin: complying with NIH mandate, IR, copyright management</td>
</tr>
<tr>
<td>• Methods to deposit to any OA repository</td>
<td></td>
</tr>
</tbody>
</table>
NIH Public Access Policy: How effective are these methods?

- Outreach sessions to faculty: 42% effective or highly effective
- Outreach to groups/admin: 39% effective or highly effective
- Web page: 56% somewhat effective or effective
- News articles: 52% somewhat effective or effective
Institutional Repositories and the NIH Mandate:

- 24 respondents have an IR or will launch within 1 year
- IR’s: some growth in the last year
- Growth associated with NIH Mandate? No
- How to associate?
  - Comparing NIH submissions to IR submissions
  - Author indicates NIH status on submission
  - Library deposits on behalf of author
The Websites:

- **ARL Libraries:**
  - 68 of 100 US libraries have Scholarly Communication Web pages
  - 72 have pages devoted to NIH Public Access Policy

- **North Carolina Libraries**
  - 8 of 52 academic libraries in NC have Scholarly Communication Web pages
  - 6 have NIH Public Access Policy pages
Examples of Activities:

• Becker Library Flowchart: How to Demonstrate Compliance with the NIH Public Access Policy
• Duke Med Deposit Service
• Georgia Tech Brownbag (July 2008)
• University of California Irvine Presentation (May 2008)
• University of Wisconsin Madison Presentation (April 2009)
Conclusions:

• Opportunities:
  ▫ To work with Offices of Sponsored Research and university admin
  ▫ To promote alternative publishing models
    • Especially open access
• Faculty don’t need us for their submission
• Librarians remain reluctant to engage in certain kinds of advocacy
Further Reading:

- Carroll, Michael W. 2008. Complying with the National Institutes of Health Public Access Policy: Copyright Considerations and Options. Available online.
- Okerson, Ann. 2009. ‘The law is the true embodiment of everything that’s excellent.’ Serials 22 no. 1: 12-18.
Questions?

Contact Information:
Joseph Thomas
Collection Development
1207 Joyner Library
East Carolina University
Greenville, NC 27858
252-737-2728
thomasw@ecu.edu