



A BIMONTHLY REPORT ON RESEARCH LIBRARY ISSUES AND ACTIONS FROM ARL, CNI, AND SPARC

## PUBMED CENTRAL DEPOSIT AND AUTHOR RIGHTS

AGREEMENTS BETWEEN 12 PUBLISHERS AND THE AUTHORS SUBJECT TO THE NIH PUBLIC ACCESS POLICY

by Ben Grillot<sup>1</sup>

Authors and publishers have long negotiated the ownership of copyright in scholarly works. However, with the rise of electronic publishing and a growing trend towards open and public access models, traditional author-publisher agreements are changing. One of many forces bringing about this change is the National Institutes of Health's (NIH) recently revised Public Access Policy, requiring authors of NIH-funded articles to submit their works to PubMed Central. As a result of this policy, authors of funded works are looking closely at their publication agreements and scientific, technical, and medical journal publishers are re-examining their author agreements to accommodate the author's needs. This paper, in an effort to help authors make informed choices about their rights, compares and contrasts how the agreements of 12 publishers permit authors to meet the requirements of the NIH Public Access Policy and share their works while they are under embargo.

### I. BACKGROUND

PubMed Central (PMC) is a free, online, research archive of peer-reviewed journal articles on biomedicine and the life sciences administered by NIH. As a trusted repository of valuable scientific research, developed and managed by the National Library of Medicine, PMC acts to "ensure the durability and utility" of scientific research "as technology changes over time."<sup>2</sup>

At the instruction of the US House of Representatives, on February 3, 2005, NIH announced a policy requesting the submission to PMC of scholarly works derived, in whole or in part, from research conducted with funds from NIH grants.<sup>3</sup> Authors were asked to provide the final

electronic version of the manuscript as accepted by the publisher, including any edits made during the peer-review process. This policy became effective on May 2, 2005. In February 2006, as requested by Congress, NIH studied submission rates and determined that because compliance with this request was optional, less than four percent of NIH-funded researchers were depositing their works into PMC.<sup>4</sup>

Based on this progress report, Congress enacted a provision as part of the Consolidated Appropriations Act requiring NIH to make this policy mandatory.<sup>5</sup> On January 11, 2008, the NIH released a revised policy making submission of articles to PMC mandatory. This policy, which became effective on April 7, 2008, requires that authors:

funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication.<sup>6</sup>

Prior to this revised policy, some publishers of scientific, technological, and medical research were using publication agreements that did not permit authors to retain the rights they needed to submit their works to a funder-designated repository. Many publishers have subsequently reviewed and are revising the agreements they sign with authors in light of the NIH's revised policy. This paper compares the terms of these revised agreements, examining their support of authors' needs to comply with NIH policy.

A complete list of the publishers compared in this paper, along with the author agreements, policy

TABLE 1: TERMS OF THE DEPOSIT IN PUBMED CENTRAL

	AAAS	ACS	APA	APS	BIO	ELSV	JCB	MAL	NPG	OUP	PNAS	T&F
<b>Agreement Language:</b>												
Expressly permits deposit in PMC	No <sup>‡</sup>	Yes	Yes	No	No	Yes	Yes	Yes	No <sup>‡</sup>	Yes <sup>†</sup>	Yes	Yes <sup>†</sup>
If not, permits posting to:	Funding body's archive or designated repository			Free access e-print servers	Digital repositories				Funding body's designated archive			
<b>Who uploads and approves deposits into PMC?</b>	Author	Author*	Publisher uploads, Author approves	Author	Author	Publisher uploads, Author approves	Publisher	Publisher	Publisher uploads, Author approves	Publisher	Publisher	Publisher uploads, Author approves
<b>What version is deposited?</b>	Accepted Version	Accepted Version	Accepted Version	Accepted Version	Publisher's Version	Accepted Version	Publisher's Version	Accepted Version	Accepted Version	Publisher's Version	Publisher's Version	Accepted Version

**Definitions:**

**Accepted Version:** Author's final version, including revisions based on peer-review comments and edits.

**Publisher's Version:** Final version as published, including all of publishers' formatting and copyediting.

**Notes:**

\* If the author pays for immediate access under the ACS AuthorChoice model, ACS will deposit the Publisher's Version.

<sup>†</sup> Author agreement is not publicly available but the publisher's Web site describes the agreement in detail.

<sup>‡</sup> AAAS and NPG address PMC in statements on their Web site but not expressly in their License to Publish agreements.

**AAAS** American Association for the Advancement of Science  
**ACS** American Chemical Society  
**APA** American Psychological Association  
**APS** American Physical Society  
**BIO** BioOne Model Agreement  
**ELSV** Elsevier

**JCB** Journal of Cell Biology  
**MAL** Mary Ann Liebert Inc.  
**NPG** Nature Publishing Group  
**OUP** Oxford University Press  
**PNAS** Proceedings of the National Academy of Sciences  
**T&F** Taylor & Francis

statements, and other relevant documents examined, is provided in the sidebar on page 6. All documents examined were current as of August 8, 2008, but due to publishers' evolving approaches to both electronic publishing and the NIH policy, these policies are likely to change.<sup>7</sup> Further, this sample of publishers is not meant to be comprehensive, instead the publishers were chosen because they are illustrative of the range of approaches taken in response to the NIH policy. However, those selected do provide a general cross sample of publishers from a variety of disciplines that receive NIH funding.

## II. ANALYSIS OF THE AGREEMENTS

This analysis of author agreements is not exhaustive, instead focusing primarily on those terms affecting an author's ability to comply with the current NIH Public Access Policy. These publication agreements differ from each other in three primary ways: the terms of the deposit, the length of the embargo period, and the rights retained by the author—both generally and during the embargo period. Three tables below summarize the terms of the agreements; some additional analysis is offered to enrich this basic data.

## Complying with the Policy

### Terms of the Deposit in PubMed Central (Table 1)

#### AGREEMENT LANGUAGE

In this sample, most publisher agreements explicitly address, and permit, deposit into PMC—either in the agreement itself, or, in a few cases, in statements on their Web sites. Further, even when deposit into PMC is not mentioned, the agreements generally include language sufficiently broad to cover such use of the work. However, reliance on statements posted on Web sites as opposed to language contained in a written publication agreement is problematic. Illustrating this ambiguity, Taylor & Francis' (T&F) publicly posted document, "Taylor and Francis's position on Copyright and Author Rights,"<sup>8</sup> does not clearly address deposit into PMC. In the absence of unambiguous language from the publisher addressing deposit into PMC, authors should consider the use of author addenda to supplement the publisher's agreements and clearly reserve the necessary rights to comply with the NIH policy.<sup>9</sup>

#### THE MECHANICS OF THE DEPOSIT

Under the NIH policy, it is the author's responsibility to ensure that a funded work is deposited in PMC, but NIH

TABLE 2: EMBARGO PERIODS

	AAAS	ACS	APA	APS	BIO	ELSV	JCB	MAL	NPG	OUP	PNAS	T&F
How Long the Embargo Lasts (in months) without Immediate Access Fee	6	12	TBD	0	6	12	6	12	6	Varies by journal	6	12
Immediate Access Fee	n/a	\$3,000	TBD	n/a	n/a	\$3,000*	n/a	\$3,000*	n/a	\$3,000/ \$1,800*	\$1,200 / \$850	\$3,100*

**Notes:**

\*MAL charges \$3,000 for the first publication and \$1,500 for all subsequent publications.

+ OUP charges a higher rate if the author is not affiliated with an institution that subscribes to Oxford's journals. OUP also has lower rates for individuals in developing countries.

‡T&F's iOpenAccess program and Elsevier's Sponsored Article Program are only available for selected journals.

**AAAS** American Association for the Advancement of Science  
**ACS** American Chemical Society  
**APA** American Psychological Association  
**APS** American Physical Society  
**BIO** BioOne Model Agreement  
**ELSV** Elsevier

**JCB** Journal of Cell Biology  
**MAL** Mary Ann Liebert Inc.  
**NPG** Nature Publishing Group  
**OUP** Oxford University Press  
**PNAS** Proceedings of the National Academy of Sciences  
**T&F** Taylor & Francis

works with publishers who wish to offer either upload or deposit services on behalf of authors. In this sample, several journal publishers (e.g., American Association for the Advancement of Science) simply allow authors to make the deposit as required by NIH. A few (e.g., Elsevier) upload the accepted version and set the embargo period, though the author must review and approve that version to complete the deposit process. Still others (e.g., Oxford University Press) deposit the publisher's version on the author's behalf.

In some cases, the publisher offers the author an option of full deposit and immediate public availability in conjunction with a fee-based immediate-access service. For example, the American Chemical Society (ACS) provides a fee-based immediate-access model independent of the NIH deposit requirements. However, following the enactment of NIH's policy, ACS linked an NIH deposit service to this option. Under this model, the only way the publisher will deposit its version into PMC is for the author to pay for immediate access. If the author elects to publish under ACS's traditional program, responsibility for submitting the work remains with the author and only the author's version as accepted may be used.

The ACS describes these options in its "NIH Policy Addendum." First, if authors wish "to forgo the NIH's manuscript submission and proofreading tasks," they can choose ACS's fee-based AuthorChoice program under which "ACS deposits the final published article [to PMC] for immediate open availability,"<sup>10</sup> as well as makes the article immediately available on the ACS Web site. If the author declines to pay for immediate access publication, however, the addendum states that "the author will be responsible for submitting all necessary electronic files...[and] will be responsible for

proofreading and checking text and other converted files as may be required."<sup>11</sup> Further, the agreement states that "ACS accepts no liability for any errors or omissions" in the version supplied by the author.<sup>12</sup>

While it is helpful for authors to have access to immediate availability of their work, the way the deposit service is linked to the AuthorChoice program could confuse authors, while the intimidating disclaimer of publisher liability might leave them with the mistaken impression that they are assuming a significant risk if they fail to pay for immediate access to ensure complete fulfillment of their NIH deposit obligation.

Publishers have also considered the use of upload fees in conjunction with the NIH Policy. This fee, unlike an immediate access fee, does not make the work publicly available immediately, but instead is a cost the author must pay for the publisher to upload the work. In July 2008, the APA announced that it was going to begin charging an upload fee of \$2,500 for all articles that required submission to PMC. This policy was quickly retracted and according to its Web site is "currently being re-examined and will not be implemented at this time" leaving the exact duration of the embargo period, while at most 12 months, unclear at present.<sup>13</sup>

**Embargo Periods (Table 2)**

The NIH Public Access Policy permits embargoes on deposited articles for up to a year (12 months) following publication. While the length of the embargo period varies by publisher, most journals require authors to select an embargo period granting the publisher a period of exclusivity following first publication of the article. For example, the American Physical Society, a publisher of physics research, has no embargo period

based on long experience with e-print servers prevalent within the physics community. In contrast, most other publishers have periods ranging from 6 to 12 months before they allow the work to be made publicly available. A publisher that deposits on behalf of an author has the greatest opportunity to ensure that its embargo period is correctly established for the work. However, even if authors choose or are required to deposit their works themselves, the NIH deposit process enables them to honor the embargo period specified in the publisher agreement.

As was discussed in conjunction with publisher deposit services, some publishers offer authors an immediate access model through a separate mechanism that eliminates the embargo period in exchange for a one-time payment. Among the publishers in this sample, the fee for this service ranges from \$850 for immediate access from the Proceedings of the National Academy of Sciences (PNAS) for an author whose institution has a PNAS site license, to \$3,100 for Taylor & Francis for any author. With these two publishers, if an author elects to pay, the publisher will immediately deposit the publisher's version into PMC on behalf of the author, as well as make it publicly available on the publisher's Web site and electronic databases, thus providing authors with a double advantage by enhancing distribution of their work and simplifying their deposit process.

Again, ambiguity in author agreements can make it difficult for authors to understand their options and the benefits each offers. Notably, the American Psychological Association's (APA) agreement does not indicate when the article will be deposited to PMC, instead stating only that the APA will submit the manuscript to NIH "in a manner consistent with federal law."<sup>14</sup> Thus, the time of deposit as well as the duration of the embargo period, and an author's rights during this period, are unclear.

## Further Complications

### Author's Sharing Rights during Embargo (Table 3)

To comply with the NIH Public Access Policy, authors need to retain sufficient rights in their articles to allow them to be deposited in PMC and made publicly accessible within 12 months of publication. In addition to these deposit requirements, authors should also consider what rights they retain during any embargo period when access to the work will be controlled by the publisher. Despite the NIH policy, most publishers considered here still require authors to give full copyright in the articles to the publisher. In exchange, the publishers may grant back to the author non-exclusive licenses to make certain future uses of the work. In this situation, NIH-funded authors have to

check carefully to be sure that they understand how they can share their works before they become publicly accessible in PMC.

Alternative models allowing authors to retain a broader set of rights are acceptable to some publishers. The Model Publication Agreement developed by BioOne in March 2008 responds to the growing movement toward funder-mandated public access by allowing the author to retain the copyright in the work while granting the publisher a license for publication. This license is exclusive for a period of time and then becomes non-exclusive, opening up the options for the author to self-archive or otherwise distribute the article.

While authors cannot assume that publisher agreements will automatically allow them to retain deposit rights, in the agreements examined here publishers generally allow authors sufficient rights to meet their obligations. However, the rights granted to authors during the embargo period do vary. At the more restrictive end of the spectrum, Mary Ann Liebert Inc.'s (MAL) Transfer of Copyright form requires an author to assign copyright to MAL and does not grant back to the author any rights or provide any licenses to use the material, requiring the author to request permission for each use. Slightly less restrictively, the American Chemical Society permits the posting of an abstract to the author's personal Web site and limits to 50 the number of copies of the final article that can be distributed, presented orally, or transmitted to colleagues. Additionally, the ACS only permits transmission on an employer's internal, secure network if it is a "work for hire." Taking a more liberal approach, PNAS permits authors to post the publisher's version on their own Web sites during the embargo and does not limit the quantity or format for distribution to students or use on a secure intranet site.

Among publishers that allow authors to maintain copyright in exchange for a license to publish the material, some, like BioOne's Model Publisher Agreement, set a six-month period of exclusivity that clearly describes what uses an author is permitted to make of the work during that period and permits posting of the accepted version to the author's Web site. Notably, although the Journal of Cell Biology (JCB), retains an exclusive right "to publish, reproduce, distribute, display and store the Work in all forms" during the first six months following publication, "except as RUP may grant sublicenses," the agreement grants the author the immediate non-exclusive right to "do anything they want with the Work" explicitly including posting on the author's or author's institution's Web site.<sup>15</sup> In contrast, The Nature Publishing Group (NPG) is more restrictive during its six-month embargo period, permitting scholarly use

TABLE 3: AUTHOR'S SHARING RIGHTS DURING EMBARGO  
(MAY CHANGE AFTER EMBARGO PERIOD ENDS)

	AAAS	ACS	APA	APS	BIO	ELSV	JCB	MAL	NPG	OUP	PNAS	T&F
<b>Ownership of Copyright:</b>	Author	Publisher	Publisher	Publisher	Author	Publisher	Author	Publisher	Author	Author (except for a few titles)	Publisher	Publisher (unless author requests ownership)
<b>During Embargo, Author Can:</b>				No embargo			No embargo					
Share with colleagues/students	Accepted version	<50	Probably	Any version	Any version	Any version	Any version	As fair use allows	Accepted version	Any version	Any version	Any version
Post to secure intranet site for scholarly purposes (e.g., courseware)	Accepted version	If "work for hire"	Accepted version	Any version	Any version	Any version	Any version	As fair use allows	Accepted version	Any version	Any version	Any version
Post to personal Web site	Accepted version	Abstract only	Accepted version	Any version	Any version	Accepted version	Any version	No	No	Preprint (if posted before publication)	Any version	Preprint
Post to disciplinary Web site or IR	No	No	Accepted version (IR only)	Accepted version	Any version (if required by funder or employer)	Accepted version (IR only)	Any version	No	No	Preprint (if posted before publication)	Accepted version	Unclear

**Preprint:** Author's version prior to peer-review.

**Accepted Version:** Author's final version, including revisions based on peer-review comments and edits.

**Publisher's Version:** Final version as published, including all of the publishers' formatting and copyediting.

**AAAS** American Association for the Advancement of Science  
**ACS** American Chemical Society  
**APA** American Psychological Association  
**APS** American Physical Society  
**BIO** BioOne Model Agreement  
**ELSV** Elsevier

**JCB** Journal of Cell Biology  
**MAL** Mary Ann Liebert Inc.  
**NPG** Nature Publishing Group  
**OUP** Oxford University Press  
**PNAS** Proceedings of the National Academy of Sciences  
**T&F** Taylor & Francis

(including posting on a secure internal network) during the six month embargo period but not allowing public posting on an author's Web site.

Not surprisingly, regardless of which party retains the copyright, it is rare for a publisher to permit publication to a publicly available disciplinary Web site without an embargo period. BioOne only permits such posting if required by a funder or employer. Only four publishers (APS, JCB, OUP, PNAS) generally allow preprints to be posted to such repositories and of those, Oxford Journals only permits such posting if the preprint was posted prior to publication. In the absence of a payment for immediate release of an article, control over the publication of the article during this embargo period is understandably important to publishers. As a result, authors should review agreements carefully and, if need be, use tools such as author addenda to clarify the permissible uses of their work during, as well as after, an embargo period.

### III. CONCLUSION

Responsibility for compliance with the NIH Public Access Policy ultimately rests with the authors of articles based on NIH-funded research. As a result, authors need to be confident they are retaining the rights necessary to allow their work to appear in PMC no later than 12 months after publication. Publishers, in response to this NIH policy, are, with varying degrees of clarity and innovation, granting authors a variety of options regarding the terms of the deposit, the duration of the embargo period, and the rights retained by authors.

Based on an examination of these 12 agreements, the following trends can be identified among publisher agreements that merit careful examination by authors. First, although some publishers are assisting authors with making the deposit to PMC, either publicly available immediately for a fee or after an embargo period, several agreements leave the author in some

## THE PUBLISHERS AND AGREEMENTS

The following publication agreements are analyzed in "PubMed Central Deposit and Author Rights."

### **American Association for the Advancement of Science (AAAS)**

License to Publish Form, Information for Authors

<http://www.sciencemag.org/about/authors/prep/license.pdf>

[http://www.sciencemag.org/about/authors/prep/lic\\_info.pdf](http://www.sciencemag.org/about/authors/prep/lic_info.pdf)

### **American Chemical Society (ACS)**

Copyright Status Form, NIH Policy Addendum

<http://pubs.acs.org/copyright/forms/copyright.pdf>

[http://pubs.acs.org/copyright/nih/nih\\_addendum.pdf](http://pubs.acs.org/copyright/nih/nih_addendum.pdf)

### **American Psychological Association (APA)**

APA Publications Rights Form, NIH–Public Access–PubMed Central Deposit Form

[http://www.apa.org/journals/authors/publication\\_rights\\_form.pdf](http://www.apa.org/journals/authors/publication_rights_form.pdf)

<http://www.apa.org/journals/authors/pubmed-form.pdf>

### **American Physical Society (APS)**

Transfer of Copyright Agreement, FAQ

<http://forms.aps.org/author/copytrnsfr.pdf>

<http://forms.aps.org/author/copyfaq.html>

### **BioOne (BIO)**

Model Publication Agreement, Model Publication Agreement Informational Sheet

[Note: This agreement is a Model Agreement drafted by BioOne to assist publishers and is not necessarily reflective of the agreements actually used by publishers of journals included in BioOne.]

[http://www.bioone.org/BioOne\\_Model\\_Pub\\_Agreement.doc](http://www.bioone.org/BioOne_Model_Pub_Agreement.doc)

[http://www.bioone.org/pdf/BioOne\\_Model\\_Pub\\_Info.pdf](http://www.bioone.org/pdf/BioOne_Model_Pub_Info.pdf)

### **Elsevier (ELSV)**

Example–Journal Publishing Agreement, Elsevier NIH Policy Statement

[http://www.elsevier.com/framework\\_authors/pdfs/JPA\\_example.pdf](http://www.elsevier.com/framework_authors/pdfs/JPA_example.pdf)

<http://www.elsevier.com/wps/find/authorsview.authors/nihauthorrequest>

### **Journal of Cell Biology (JCB)**

Manuscript Content Verification and Provisional License to Publish

<http://www.jcb.org/misc/license.pdf>

### **Mary Ann Liebert Inc. (MAL)**

Transfer of Copyright

[http://www.liebertpub.com/media/content/transfer\\_of\\_copyright.pdf](http://www.liebertpub.com/media/content/transfer_of_copyright.pdf)

### **Nature Publishing Group (NPG)**

License to Publish, Manuscript Deposition Service

<http://www.nature.com/nature/authors/submissions/final/authorlicense.pdf>

[http://www.nature.com/authors/author\\_services/deposition.html](http://www.nature.com/authors/author_services/deposition.html)

### **Oxford University Press (OUP)**

Publication Rights Policies, Guidelines for NIH-Funded Authors of Articles Published by Oxford Journals

[http://www.oxfordjournals.org/access\\_purchase/publication\\_rights.html](http://www.oxfordjournals.org/access_purchase/publication_rights.html)

[http://www.oxfordjournals.org/for\\_authors/repositories.html](http://www.oxfordjournals.org/for_authors/repositories.html)

### **Proceedings of the National Academy of Sciences (PNAS)**

PNAS Copyright Assignment and Documentation Report, PNAS Open Access Option

<http://www.pnas.org/misc/copyright.pdf>

<http://www.pnas.org/site/subscriptions/open-access.shtml>

### **Taylor & Francis (T&F)**

Taylor & Francis's Position on Copyright and Author's Rights

[http://www.tandf.co.uk/journals/iopenaccess\\_TCs.pdf](http://www.tandf.co.uk/journals/iopenaccess_TCs.pdf)

<http://www.tandf.co.uk/journals/authorrights.pdf>

doubt about what will happen and when. Further, many agreements require authors to allow the publisher to upload the accepted version (which the author must then approve), despite the fact that some authors may prefer to make their own deposit and can do so while honoring the embargo period. Although some publishers are electing to provide separate forms covering the PMC upload or deposit, this is unnecessary since the necessary language can be provided in a standard publisher agreement form.

Additionally, while publishers have a legitimate interest in asserting the right of first publication, the duration and degree of restriction placed on the embargo period varies widely. Many publishers are choosing to make works available sooner than the 12-month maximum allowed by the NIH policy, to the benefit of authors, researchers, and the general public. There is a significant amount of inconsistency and unnecessary lack of clarity regarding author's rights during the embargo period. Authors are encouraged to closely examine their agreements to ensure that they are able to use their work adequately during and after the embargo period, while at the same time publishers are encouraged to clarify exactly what uses are permitted at what times.

The traditional model where the author assigns the publisher complete copyright in the work is being reconfigured in some newer agreements to grant the publisher limited exclusive rights of first publication while the author retains ownership of the copyright along with a considerable remainder of distribution rights. This model provides greater flexibility for authors to re-use their work in the future and, when properly executed, provides the publisher sufficient rights and incentives to make the work available.

The significant variability in publisher agreements requires authors with NIH funding to closely examine their agreements and the rights granted and retained when deciding where to publish their research. When faced with ambiguous agreements or in order to achieve consistency in retained rights, authors should consider the use of author addenda to provide clarity and retain the rights necessary to use the work as they see fit.

- <sup>1</sup> Ben Grillot, MLS (Maryland 2002), is a second-year student at the George Washington University Law School and was a legal intern at ARL for the summer of 2008.
- <sup>2</sup> See "PMC Overview," <http://www.pubmedcentral.nih.gov/about/intro.html>.
- <sup>3</sup> See generally Michael W. Carroll, "Complying with the National Institutes of Health Public Access Policy: Copyright Considerations and Options," SPARC/Science Commons/ARL white paper, February 2008, <http://www.arl.org/sparc/advocacy/nih/copyright.shtml>.
- <sup>4</sup> "NIH Progress Report to Congress," February 2006.
- <sup>5</sup> See Consolidated Appropriations Act, 2008, Pub. L. No. 110-161, Div. G, Tit. II, §218.
- <sup>6</sup> *Ibid.* See also "Revised Policy on Enhancing Public Access to Archived Publications Resulting from NIH-Funded Research," NOT-OD-08-033, <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-033.html>.
- <sup>7</sup> For example, an August 13 press release announced that Taylor & Francis will upload the author's accepted version to PMC. See [http://www.tandf.co.uk/journals/iopenaccess\\_nih.asp](http://www.tandf.co.uk/journals/iopenaccess_nih.asp).
- <sup>8</sup> Taylor and Francis, "Taylor and Francis's Position on Copyright and Author Rights," <http://www.tandf.co.uk/journals/authorrights.pdf>.
- <sup>9</sup> For a broad overview of author addenda see "Authors and Their Rights," <http://www.arl.org/pp/ppcopyright/author-rights-resources.shtml>. See also Peter B. Hirtle, "Author Addenda: An Examination of Five Alternatives," *D-Lib Magazine* 12, no. 11 (November 2006) <http://dlib.org/dlib/november06/hirtle/11hirtle.html>.
- <sup>10</sup> "American Chemical Society Copyright Status Form, NIH Policy Addendum" (revised April 2008), [http://pubs.acs.org/copyright/nih/nih\\_addendum.pdf](http://pubs.acs.org/copyright/nih/nih_addendum.pdf).
- <sup>11</sup> *Ibid.*
- <sup>12</sup> *Ibid.*
- <sup>13</sup> "Document Deposit Procedures for APA Journals," American Psychological Association, <http://www.apa.org/journals/authors/pubmed-deposit.html>.
- <sup>14</sup> "APA Publications Rights Form," American Psychological Association, [http://www.apa.org/journals/authors/publication\\_rights\\_form.pdf](http://www.apa.org/journals/authors/publication_rights_form.pdf).
- <sup>15</sup> See <http://www.jcb.org/misc/license.pdf>.

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# STATISTICS & MEASUREMENT

Martha Kyriallidou, Director, ARL Statistics and Service Quality Programs

## ARL SALARY SURVEY HIGHLIGHTS

by Les Bland, ARL Statistics Liaison

The 2007–08 ARL Annual Salary Survey shows that ARL librarians' salaries surpassed inflation for the fourth consecutive year. This is in contrast to 2002–04, when the increase in median salaries was flat when compared to the rise of inflation as judged by the Consumer Price Index (CPI). The median salary of ARL academic librarians in the United States for 2007–08 was \$61,329, an increase of 3.5% from the previous reporting period of 2006–07. During this same timeframe, the US CPI rose 2.4%. In Canada, the picture was similar: Canadian ARL academic librarians earned a median salary of Can\$76,239, a rise of 3.9% from the previous year, which also compared favorably to a 2.5% increase in the Canadian CPI. The salaries for ARL non-academic librarians did not enjoy similar growth, as their median salaries increased less than 1%, from \$80,124 in 2006–07 to \$80,261. However non-academic librarians' median salaries were 24% higher than that of academic librarians in 2007–08.

The US dollar continued to decline in value during the salary survey period of July 2007–June 2008. For this study, an exchange rate of 1.1323 was used to convert Canadian dollars into US dollars.<sup>1</sup> This is the lowest value recorded for the US dollar in a 25-year period. One ancillary effect of the declining worth of the US dollar is a corresponding rise in the median salary of Canadian ARL academic librarians, when converted to US dollars. Converted to US dollars, the Canadian median salary (\$67,331) increased 6.7% from the previous year, almost double the 3.6% salary increase of their US peers, whose median salary was \$61,329. For the second year in a row, the continuing decline of the US dollar raised the value of

the median salary of Canadian ARL academic librarians when compared to that of their US counterparts, making the Canadian median higher than the US median.

Geographical region, public or private status of a university, and library staff size all influenced the average salary of ARL academic librarians. As noted in previous reports, the New England, Pacific, and Middle Atlantic regions continue to have the highest average salaries. Librarians in private US ARL universities earned 6.2% more than their peers in public universities: the average salary in private universities was \$69,384, compared to \$65,323 in public universities. Library size influenced salary: university libraries with staffs of more than 110 reported the highest average salary of \$69,603, while university libraries with staffs of 50–74 reported the lowest average salary of \$64,990 (a difference of 7%). University libraries with staffs of 75–110 reported an average salary of \$67,902, and university libraries with staffs of 22–49 reported an average salary of \$66,204.

During this reporting period, the ARL university library workforce consisted primarily of females (6,436, or 64.5%); males (3,547) composed only 35.5% of the total. However, men were paid more than women. In US ARL university libraries (excluding law and health sciences libraries), men reported an average salary of \$69,229, while women were paid 5% less (an average salary of \$66,040). In 19 of 27 job categories in ARL university libraries, men earned more than women (a decrease of 1 job category from the previous report of 2006–07). Male directors of ARL university libraries reported an annual average salary of \$186,383, and female directors averaged an annual salary of \$183,287. When judged solely by experience, the average salary for men is consistently

ARL ACADEMIC LIBRARIANS, FY 2007–08\*

	Men	Women	Combined
<b>Total Filled Positions</b>	3,063	5,250	8,313
<b>Average Salary</b>	\$69,229	\$66,040	\$67,635
<b>Average Years Experience</b>	16.8	17.0	16.9
<b>Total Number of Minorities<sup>†</sup></b>	317	700	1,017
<b>Minority Average Salary<sup>†</sup></b>	\$62,853	\$61,251	\$61,750
<b>Minority Average Years Experience<sup>†</sup></b>	13.2	15.0	14.5
<b>Total Number of Directors</b>	49	62	111
<b>Average Salary of Directors</b>	\$186,383	\$183,287	\$184,654
<b>Average Years Experience of Directors (filled positions)</b>	31.9	32.1	32.0

\*Excludes law and health sciences libraries.

<sup>†</sup>United States only.

Source: ARL Annual Salary Survey 2007–08.

# ARL ACTIVITIES

Kaylyn Groves, Managing Editor, ARL Web Content

higher than the average salary for women in all 10 of the experience cohorts recorded for ARL university libraries.

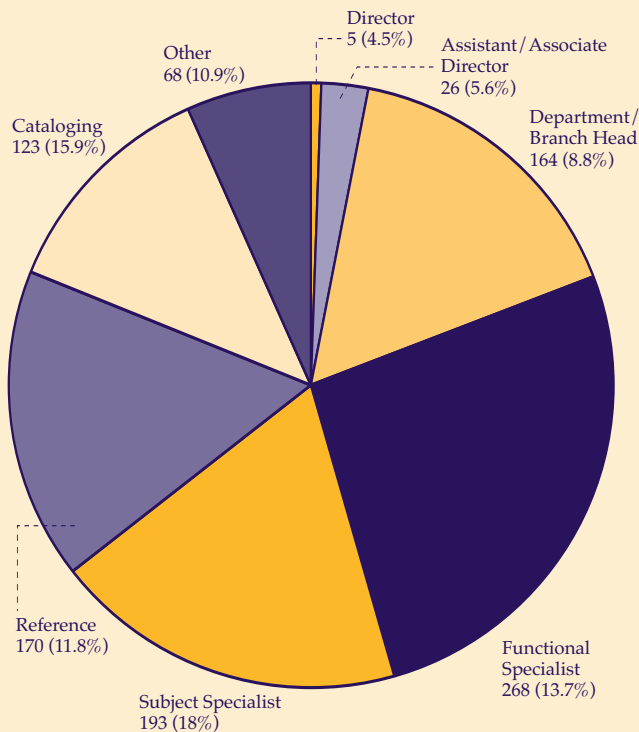
During the period covered in the 2007–08 Salary Survey, a total of 1,280 staff members were reported as belonging to one of the four minority groups.<sup>2</sup> The same gender-based pay gap noted above is observed amongst minority librarians in ARL university libraries. Minority men (overall average salary: \$62,853) earn more than minority women (overall average salary: \$61,251) in all but one of the experience cohorts: minority females in the 32–35 years experience cohort earned \$86,403; minority males in this cohort were paid \$72,111. Minorities make up 14.1% of professional staff in US ARL university libraries, but are underrepresented in leadership positions: they make up 5.2% of directors, 6.3% of associate/assistant directors, and 11.7% of branch head librarians.

To order the ARL Annual Salary Survey 2007–08, visit <http://www.arl.org/resources/pubs/> or email [pubs@arl.org](mailto:pubs@arl.org).

<sup>1</sup> This is an average of the monthly noon exchange rate published in the *Bank of Canada Review* for the period of July 2007–June 2008.

<sup>2</sup> The minority groups recorded are Black, Hispanic, Asian, and American Indian/Alaskan Native. The 1,280 staff members include professionals in law/health libraries. The position distribution of minorities across job categories depicted in the pie chart excludes professionals from law/health sciences libraries.

DISTRIBUTION OF MINORITY PROFESSIONALS IN ARL UNIVERSITY LIBRARIES BY POSITION, 2007-08\*



\*Excludes law and health sciences libraries.  
Source: ARL Annual Salary Survey 2007–08 data set.

## ARL LAUNCHES CAREER ENHANCEMENT PROGRAM FOR MINORITY MLS STUDENTS

The ARL Career Enhancement Program, funded by the Institute for Museum and Library Services and ARL member libraries, offers MLS students from underrepresented groups an opportunity to jump-start their careers in research libraries by providing a robust fellowship experience in an ARL member library.

The ARL Career Enhancement Program has four main components: a six- to twelve-week fellowship experience in a host library, a mentoring relationship with a professional librarian, participation in the ARL Leadership Institute, and career placement assistance from ARL staff.

The fellowship host institutions are University at Albany, State University of New York; University of Arizona; University of California, San Diego; Columbia University; University of Kentucky; University of Michigan; National Library of Medicine; North Carolina State University; and University of Washington.

MLS students from underrepresented racial and ethnic groups who have successfully completed a minimum of 12 credit hours by December 31, 2008, in an ALA-accredited MLS program are encouraged to apply for this enriching program experience. Applications are being accepted until October 1, 2008, and should be submitted online. For more information, see <http://www.arl.org/diversity/cep/>.

## LIBRARY ASSESSMENT CONFERENCE DRAWS HUNDREDS OF ATTENDEES

The 2008 Library Assessment Conference—cosponsored by ARL, the University of Virginia Library, and the University of Washington Libraries—convened in Seattle, August 4–7, 2008. The event, which built upon the success of the 2006 Charlottesville conference, attracted 375 professionals interested in library assessment.

The robust program opened with a plenary session on the biggest challenges in library assessment, addressed by Betsy Wilson (Washington), Rick Luce (Emory), and Susan Gibbons (Rochester) and discussed by Joan Rapp (University of Cape Town) and Stephen Town (University of York, UK).

The first Library Assessment Career Achievement awards were presented to three pioneers in the field—Amos Lakos, Shelley Phipps, and Duane Webster—during a spectacular reception in the Olympic Sculpture Park overlooking Puget Sound and the Olympic Mountains.

Conference presentations and related materials are available on the conference Web site <http://libraryassessment.org/>. ARL plans to publish the conference proceedings later this year. The next Library Assessment Conference is being planned for fall 2010 in the Washington DC area.

# ARL ACTIVITIES

*Continued*

## ARL TRANSITIONS

**Boston College:** Monique Lowd was named Interim University Librarian, effective July 1, 2008.

**Boston Public:** Amy Ryan, Director of the Minneapolis and Hennepin County Library System, has been appointed BPL President.

**Colorado State:** Patrick Burns was named Vice President for Information Technology and Interim Dean of Libraries, effective July 2008.

**Delaware:** Susan Brynteson's title became Vice Provost and May Morris Director of Libraries, effective July 1, 2008. She was formerly May Morris Director of Libraries.

**Georgia Tech:** Catherine Murray-Rust was appointed Dean of Libraries, effective August 15, 2008. She was previously Dean of Libraries at Colorado State University.

**Montréal:** Richard Dumont was appointed Director of Libraries, effective August 4, 2008. He was previously Library Director at the École Polytechnique de Montréal.

**Penn State:** Nancy Eaton, Dean of University Libraries and Scholarly Communications, announced her intention to retire on August 31, 2009, or as soon thereafter as her successor has been named. After retirement, she will become Dean Emeritus.

**Rutgers:** Marianne Gaunt's title became Vice President for Information Services and University Librarian, effective July 1, 2008. She was formerly University Librarian.

**Vanderbilt:** Connie Vinita Dowell, Dean of the Library and Information Access at San Diego State University, has been named Dean of the Jean and Alexander Heard Library at Vanderbilt. Dowell succeeds Paul Gherman, who retired on June 30, 2008. Flo Wilson, Deputy University Librarian, is serving as Interim University Librarian during the transition process.

## ARL STAFF TRANSITIONS

**Les Bland** was appointed Statistics Liaison effective May 30, 2008. He has a background in sociology and the social sciences.

**Neil Rambo**, of the University of Washington Libraries, has curtailed his part-time assignment as ARL Visiting Program Officer for Library Support for Research & E-Science upon assuming the duties of Acting Associate Dean of University of Washington Libraries and Acting Director of the University of Washington Health Sciences Libraries.

**Eric Celeste**, formerly of the University of Minnesota Libraries and MIT Libraries, has been retained by ARL to work on priority projects identified by the ARL E-Science Working Group. Both Neil and Eric are participating in the planning for the ARL/CNI Forum on Reinventing Science Librarianship and will attend the meeting this October.

## OTHER TRANSITIONS

**Canadian Association of Research Libraries (CARL):** Brent Roe was appointed Executive Director, effective April 14, 2008. Roe was formerly Associate University Librarian, Information Services, York University.

**Historically Black Colleges and Universities (HBCU) Library Alliance:** Sandra Phoenix, former Executive Services Librarian at the Southeastern Library Network (SOLINET), was named Director of the HBCU Library Alliance, effective May 12, 2008.

**Institute of Museum and Library Services (IMLS):** The US Senate confirmed four presidential nominees to serve as members of the National Museum and Library Services Board, which advises IMLS. The new members are: Julia W. Bland, Executive Director of the Louisiana Children's Museum; Jan Cellucci, Commissioner on the US National Commission on Libraries and Information Science; William J. Hagenah, Chairman, Board of Directors of the Chicago Horticultural Society; and Mark Y. Herring, Dean of Library Services at Winthrop University, Rock Hill, SC.

**International Federation of Library Associations and Institutions (IFLA):** Jennefer Nicholson, former Executive Director of the Australian Library and Information Association, was appointed IFLA Secretary General, effective September 6, 2008.

**National Science Foundation (NSF) Office of Cyberinfrastructure:** Edward Seidel was appointed Director, effective September 1, 2008. He was formerly Floating Point Systems Professor in the Louisiana State University (LSU) Departments of Physics & Astronomy and Computer Science as well as director of the LSU Center for Computation & Technology.

## HONORS

**Boston Public Library** was awarded a Digital Pioneer Award, or "Digie," for digitizing music from Boston bands and providing them promotion and exposure to new audiences from their download catalog. The award was presented at Digipalooza '08, a library download service user conference, held July 24–27 in Cleveland.

**Cliff Haka**, Director of Libraries, Michigan State University, has been named Librarian of the Year by the Michigan Library Association (MLA). He will be honored October 22, 2008, at the Awards Luncheon of the MLA Annual Conference in Kalamazoo.

**Carole Moore**, Chief Librarian, University of Toronto, won the 2008 Canadian Association of Research Libraries (CARL) award for Distinguished Service to Research Librarianship. She received the award for her outstanding and dynamic contributions to the profession as a library leader in a vast digital expansion of access to research literature in Canadian universities.

## GRANTS

The **ARL Diversity Initiatives** have been awarded a \$728,821 grant by the Institute of Museum and Library Services (IMLS) Laura Bush 21st-Century Librarian Program to create the ARL Career Enhancement Program.

**University of California, Los Angeles Library** received a \$750,000 grant from the Andrew W. Mellon Foundation to catalog more than 55,000 rare books and make them more accessible to users.

**Columbia University Libraries** received a \$371,000 grant from the Andrew W. Mellon Foundation for a two-year project to preserve 820 recordings containing almost 1,200 hours of recorded interviews and memoirs from the Oral History Research Office's collection.

**Duke University Libraries**—in collaboration with **University of Kansas**, Lehigh University, the **University of Pennsylvania**, the National Library of Australia, **Library and Archives Canada**, **Vanderbilt University**, the Orbis Cascade Alliance, **Rutgers University**, the **University of Florida**, the **University of Chicago**, **Columbia University**, the **University of Maryland**, and Whittier College—received a \$475,700 grant from the Andrew W. Mellon Foundation to design a next-generation, open-source library system that is flexible, customizable, and able to meet the changing and complex needs of modern, dynamic academic libraries. For more information, see the Open Library Environment (OLE) Project Web site <http://oleproject.org/>.

The Institute of Museum and Library Services (IMLS) awarded 19 Connecting to Collections: Statewide Planning Grants that will be used to create conservation plans for collections held in libraries, museums, and archives. Two ARL libraries are partners of grantees:

**Rutgers University Libraries** are partnering with grant recipient Newark Museum Association, along with four other New Jersey cultural institutions, on "Conservation Plan, New Jersey." Award amount: \$40,000; matching amount: \$28,768.

**University of Washington Libraries** are partnering with grant recipient Washington State Library, along with four other Washington cultural heritage organizations on "Preserving Washington's Cultural Heritage: Connecting Collections." Award amount: \$40,000; matching amount: \$16,478.

IMLS awarded the Connecting to Collections Bookshelf to **Georgetown University Library** and **Washington University in St. Louis Libraries**. The bookshelf includes an essential set of books, online resources, and a user's guide to assist recipients in caring for their collections.

The National Endowment for the Arts (NEA) awarded grants to five ARL member libraries to host "Big Read" celebrations of classic novels from January 2008 to June 2009: **Auburn University**, with Marion-Perry County Public Library, *To Kill a Mockingbird*; **Columbia University**, *The Thief and the Dogs*; **University of Georgia/UGA Libraries**, *Bless Me, Ultima*; **University of Illinois at Urbana-Champaign**, *The Death of Ivan Ilyich*; **Washington University in St. Louis**, *To Kill a Mockingbird*.

**University of North Carolina (UNC) at Chapel Hill** and the 16 other UNC libraries have been awarded a \$150,000 federal Library Services and Technology Act (LSTA) grant to develop a virtual union catalog system that will enable their users to request prompt delivery of materials to and from all UNC institutions across the state. The grant funds originated from the Institute of Museum and Library Services (IMLS), and were awarded by the State Library of North Carolina, a division of the Department of Cultural Resources.

**University of Texas Libraries** received a \$1.2 million grant from the Bridgeway Foundation to collect and preserve in digital form the fragile record—including Web sites, audio, and video—of genocide and human rights conflicts worldwide.

## MEMORIALS

**Margaret Armstrong Beckman**, 84, died in Waterloo, Ontario, Canada, on February 28, 2008. She became Chief Librarian of the University of Guelph's McLaughlin Library in 1971, the only woman leading a university library in Ontario at the time.

**Kent Herman Hendrickson**, 68, died in Lincoln, Nebraska, on February 5, 2008. He served as Dean of Libraries at the University of Nebraska-Lincoln (UNL) from 1985 to 1995 before being promoted to Associate Vice Chancellor of Information Services.

**Donald E. Riggs**, 65, died February 19, 2008. He served as director of libraries at Arizona State University from 1979 to 1990 and the University of Michigan from 1991 to 1996.

**Kenneth Eldridge Toombs**, 79, died March 4, 2008. He was named Director of Libraries at the University of South Carolina (USC) in 1967 and retired as Director Emeritus of the USC Library System in 1988.

# ARL

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## ARL CALENDAR

<http://www.arl.org/events/calendar/>

### 2008

- October 1–4 National Diversity in Libraries Conference  
*Louisville, Kentucky*
- October 14–16 **ARL Board & Membership Meeting**  
*Arlington, Virginia*
- October 16–17 ARL/CNI Forum on Reinventing Science Librarianship  
*Arlington, Virginia*
- October 27 Using LibQUAL+® Effectively  
*Washington DC*
- November 17–18 SPARC Digital Repositories Meeting  
*Baltimore, Maryland*
- December 1–3 ARL/ACRL Institute on Scholarly Communication  
*Portland, Oregon*
- December 8–9 CNI Fall Task Force Meeting  
*Washington DC*

### 2009

- January 5–9 Web Development with XML: Design and Applications  
*Chapel Hill, North Carolina*
- March 11–12 Scholarly Communication Outreach: Crafting Messages that Grab Faculty Attention  
*Seattle, Washington*
- March 16–20 Service Quality Evaluation Academy  
*New Orleans, Louisiana*
- May 19–22 **ARL Board & Membership Meeting**  
*Houston, Texas*
- October 13–16 **ARL Board & Membership Meeting**  
*(tentative dates) Washington DC*

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