

Open Access and the Role of National Libraries

The University of Sheffield Information School
Open Access and the Role of the National Library

Researchers

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Purpose of the research: Open access to research publications, making them freely accessible for anyone to read and use, has grown substantially over the last decade. This is changing how research findings are found, accessed and used. This research aims to understand how national libraries are responding to this change, how and why the responses vary by country, and what models national libraries could adopt in the future. This research is being sponsored and co-supervised by the British Library.

Who will be participating? I am inviting senior officers from each national library to participate.

What will you be asked to do? You will be asked to complete a survey about your national library, the services currently provided and approach being taken to open access, non-subscription scholarly research.

What are the potential risks of participating? The risks of participating are largely the same as those experienced in everyday life, there is a small risk that your library will be identifiable to others familiar with the sector.

What data will I collect? I am collecting the written responses and selected answers to the survey. There will be an opportunity to provide your email address for partaking in future research at the end of the survey.

What will I do with the data? I will analyse the data for my PhD thesis and future publications. The data will be downloaded from the survey platform as soon as the survey has closed and stored on University research data servers. During the analysis phase the data will only be accessible by myself and my supervisors. Data which is not shared publicly will be destroyed 10 years after finishing my analysis. Data deposited in a public data repository will be de-identified and only deposited if participants give their explicit consent for this.

Will your participation be confidential? I will remove any direct identifiers of individuals and libraries prior to analysis, and prior to sharing my data with my supervisors at the British Library

and the University of Sheffield. Identifying information will only be retained for those participants who have agreed to participate in further research. Whilst direct identifiers will be removed anonymity cannot be guaranteed.

What will happen to the results of the research project? The results of this study will be included in my PhD thesis, journal articles, and other reports. Where participants consent to this the anonymised data will be shared in a data repository.

What is the legal basis for processing your personal data? The University of Sheffield will act as the Data Controller for this study. This means that the University is responsible for looking after your information and using it properly. In order to collect and use your personal information as part of this research project, we must have a basis in law to do so. The basis that we are using is that the research is 'a task in the public interest'.

Declaration of consent

- I confirm that I have read and understood the description of the research project, and that I have had the opportunity to ask questions about the research project.
- I understand that my participation is voluntary and that I am free to withdraw before 1st November 2019 without any negative consequences.
- I understand that if I withdraw I can request for the data I have already provided to be deleted, however this might not be possible if the data has already been anonymised or findings published.
- I understand that I may decline to answer any particular question or questions, or to do any of the activities.
- I understand that my responses will be kept strictly confidential, that my name or identity will not be linked to any research materials, and that I will not be identified in any report or reports that result from the research, unless I have agreed otherwise.
- I give permission for all members of the research team to have access to my responses.
- I give permission for the research team to re-use my data for future research as specified above.

☐ I agree to take part in the research project as described above (2)

Data sharing

☐ I agree to my de-identified responses being deposited in a public data repository (1)

Note: Further information, including details about how and why the University processes your personal information, how we keep your information secure, and your legal rights (including how to complain if you feel that your personal information has not been handled correctly), can be found in the University's Privacy Notice <https://www.sheffield.ac.uk/govern/data-protection/privacy/general>.

If you have any difficulties with, or wish to voice concern about, any aspect of your participation in this study, please contact Dr Paul Reilly, Research Ethics Coordinator, Information School, The University of Sheffield (ischool_ethics@sheffield.ac.uk).

Open Access and the Role of National Libraries

This survey is investigating the role of national libraries in the 21st century and how, if at all, the increase in the proportion of the research literature being published Open Access is affecting this role.

We will begin by asking a few questions about the national library you work for:

Which national library do you work for?

Which of the following best describes your role in your national library?

- ☐ Director or chief executive (1)
 - ☐ Senior manager (2)
 - ☐ Open Access or scholarly communications specialist (3)
 - ☐ Other: (4) _____
-

How many people currently work at your library? If you have part-time staff please answer in terms of full-time equivalent members of staff.

- ☐ 0-49 (1)
 - ☐ 50-99 (2)
 - ☐ 100-199 (3)
 - ☐ 200-499 (4)
 - ☐ 500-999 (5)
 - ☐ 1000-1999 (6)
 - ☐ 2000 or more (7)
-

Is your national library an independent institution or does it serve a dual purpose?

- ☐ Independent institution (1)
- ☐ Joint with an academic library (2)
- ☐ Joint with a public library (3)
- ☐ Joint with a legislative or government library (4)
- ☐ Other (5) _____

Audiences and Collections

We will now move on to considering the audiences your national library serves and the collections it holds.

Which of the following audiences do the services and collections of your national library cater for? (Please select all that apply)

- ☐ General public (1)
 - ☐ Independent researchers (2)
 - ☐ Students (3)
 - ☐ Academic researchers (4)
 - ☐ Businesses (5)
 - ☐ Government policymakers and legislators (6)
 - ☐ Other: (7) _____
-

Does your country currently have legal deposit legislation?

- ☐ Yes (1)
 - ☐ No (2)
 - ☐ Don't know (3)
-

Is the national library a recipient of publications under this legislation?

- ☐ Yes (1)
- ☐ No (2)
- ☐ Don't know (3)
-

Does your country's legal deposit legislation cover any of the following categories of publications? (Please select all that apply)

- ☐ Electronic publications (1)
- ☐ Websites (3)
- ☐ Scientific journals (4)
-

Regardless of legal deposit legislation, does your national library collect any of the following categories of publications? (Please select all that apply)

- ☐ Electronic publications (1)
- ☐ Websites (2)
- ☐ Scientific journals (3)
- ☐ Academic books and monographs (4)

Does your national library systematically collect academic or research literature in any of the following disciplines? (Please select all that apply)

☐

Arts (1)

☐

Humanities (2)

☐

Social sciences (3)

☐

Physical sciences (4)

☐

Engineering and Technology (5)

☐

Medicine and Healthcare (6)

Relationship with government

National libraries vary in how closely they work with their parent government and what their relationship is with the government.

Does your national library receive any of the following from your government or government agencies?

	Yes (1)	No (2)	Unknown (3)
Budgetary support (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Performance targets, such as Key Performance Indicators (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Direct instruction on running regular services on at least an annual basis (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Direct instruction on running special projects or initiatives (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please briefly describe the support and instructions you receive from your government, as indicated above.

Does your national library provide any of the following to your government or governmental agencies?

	Yes (1)	No (2)	Unknown (3)
Library services specifically for legislators or civil servants (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policy advice on library services (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policy advice on wider heritage sector (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policy advice on higher education (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Policy advice in any other areas (5)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please briefly describe the services you provide to your government or governmental agencies, as indicated above.

Who are the key groups that your national library works with to influence external policy about library services, the wider heritage sector, higher education or any other areas? (Please select all that apply)

- ☐ Higher education institutions (1)
 - ☐ Research funders (2)
 - ☐ Cultural institutions (3)
 - ☐ Library organisations (4)
 - ☐ Government ministries (5)
 - ☐ Non-governmental organisations (6)
 - ☐ Other: (7) _____
-

What mechanisms does your national library use to inform external policy? (Please select all that apply)

- ☐ Legislature and committees (1)
- ☐ Direct contact with ministers and civil servants (2)
- ☐ Professional bodies (3)
- ☐ Public advocacy (4)
- ☐ Other: (5) _____

Open Access

Open Access (OA) to research literature refers to "its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself." (Budapest Open Access Initiative, 2002, <https://www.budapestopenaccessinitiative.org/read>). This section of the survey investigates what impact OA is having on national libraries.

Is Open Access currently being discussed in relation to the services your national library provides?

- ☐ Yes (1)
- ☐ No (2)
- ☐ Don't know (3)
-

Please describe which services are being discussed in relation to Open Access.

Is Open Access affecting the existing services your national library provides?

- ☐ Yes (1)
- ☐ No (2)
- ☐ Don't know (3)
-

Please describe which services are affected by Open Access.

Is your national library actively providing services to support Open Access, including services to make it easier to discover Open Access content?

- ☐ Yes (1)
- ☐ No (2)
- ☐ Don't know (3)
-

Please describe the Open Access services you are providing and who they are targeting.

Are you planning to provide services to support OA at your national library in the near future (up to 2 years)?

- ☐ Yes (1)
 - ☐ No (2)
 - ☐ Don't know (3)
-

Please describe the Open Access services you plan to provide.

Are the current OA-related services, or services you plan to provide, influenced by national or international OA and Open Science policies and mandates?

- ☐ No relation to policies and mandates (1)
 - ☐ A little influenced by policies and mandates (6)
 - ☐ Significantly influenced by policies and mandates (7)
 - ☐ Mostly driven by policies and mandates (8)
 - ☐ Entirely driven by policies and mandates (9)
-

To what extent do you think national libraries have a role in supporting the following areas in Open Access?

	No role (1)	Some role (2)	Should have a significant role in this activity (3)	Should be the main service provider (4)	Should be the only service provider (5)	Not sure (6)
Infrastructure (e.g. repositories, DOI registration, standards) (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Preservation of Open Access materials (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Discovery of Open Access materials (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Services to researchers (e.g. advice, financial support to publish in Open Access journals, training) (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Services to universities, academic institutions, and independent research organisations (5)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Services to scholarly societies (6)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Services to publishers (7)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Moving on from Open Access to the research literature, to think about Open Science and Research more broadly. Are you currently, or planning on within two years, including Open Science in your strategy or offering services in this area? Examples could include Open Data, sharing code and software, or open peer review.

- ☐ Yes (1)
- ☐ No (2)
- ☐ Don't know (3)
-

Please describe how you are planning to include Open Science in your strategy or future services, or what services you currently offer to support Open Science.

Continued participation

Thank you for taking part in this survey, before you finish we would like to invite you to partake in future research in this area.

Please indicate if you are willing to be contacted about any of the following:

	Yes (1)	No (2)
Taking part in a follow up survey (1)	<input type="radio"/>	<input type="radio"/>
Taking part in interviews as a case study library (2)	<input type="radio"/>	<input type="radio"/>
Receiving a report on the results of this survey (3)	<input type="radio"/>	<input type="radio"/>

If you are willing to take part in future research or would like a report on the results of this survey please provide your email address or other contact details:
