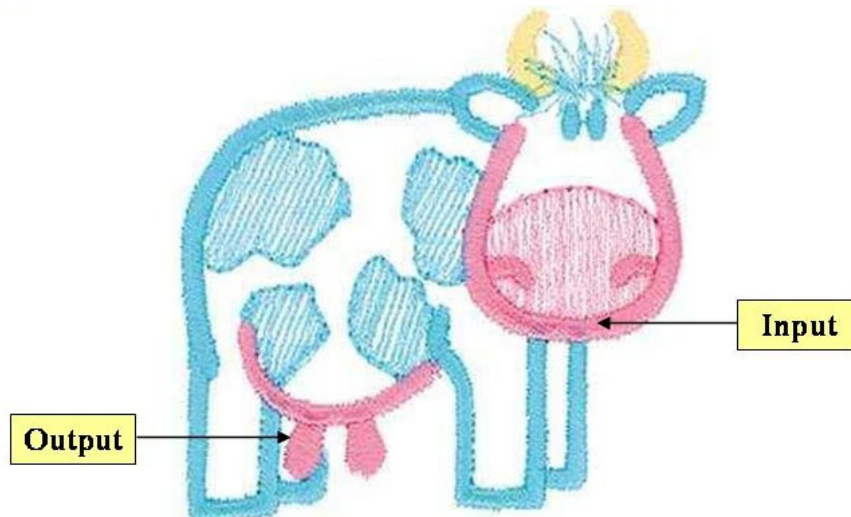


An author is an animal with two ends

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1. Authors: an author's perspective



An author is an animal with two ends. If you are looking *at* an author, your attention may be drawn to what comes out at the back. But if you *are* the author, you are looking in the other direction, at least when you are most productively occupied. Authors are essentially consumers. Processed output is a side-effect of input, and without the input your herd of authors will cease to yield its tasty, nutritious—and marketable—milk.

Thesis 1: An author has two ends: what comes out must go in.

2. Authors: a publishers' perspective

From the author's perspective, therefore, Open Access is a Good Thing: fences that restrict my grazing are irksome to me. But you will note the slide from '*the* author' to '*me*'. I cannot claim to be a representative author. I am certainly not representative of my own discipline; if I were, I would not be contributing to this discussion. Among Classicists, awareness of Open Access issues, and the take-up of (for example) self-archiving opportunities, is low. The story is not much different in most other Humanities subjects.¹ When I last checked the White Rose repository, Arts and Humanities departments had contributed only 7.7% of the Leeds items; and I was responsible for more than half of those.²

¹ Philosophy is perhaps an exception: see [Philosophy Papers Online](#).

² The White Rose ePrints Repository (<http://eprints.whiterose.ac.uk/>) serves the Universities of Leeds, Sheffield and York. On 21 September 2006, the total for Leeds items was 480, of which 30 were from the Faculty of Arts and 7 from the Faculty of Performance, Visual Arts and Communication; I had contributed 21 items. For the whole repository, my estimate of the total contribution of Arts departments was around 7.0%.

So when I started to think about this presentation, I felt that I should try to find out more about what normal authors think, and was happy to discover that the Association of Learned and Professional Society Publishers had carried out a research study in 1999, under the title *What Authors Want*—just what I needed to know.

The first thing I learned when I visited the ALPSP website³ was that I did not want to pay £50 to get access to their results. But an abstract of the report was freely accessible, from which I learned that the ALPSP does not understand authors. The survey questions were concerned exclusively with authors and the *publishing* process, and not at all with authors and the *authoring* process:

- The primary aim of the survey was fourfold and sought to examine:
- the motivations involved when authors publish their work
 - which factors authors take into consideration when deciding where to submit their work
 - the concerns of authors about the publishing process
 - the hopes and expectations of authors for the future of scholarly publishing.⁴

Perhaps understandably, only the rear end of an author is of interest from the publishers' perspective.

Thesis 2: The author publishing is not the author authoring.

3. Publishers: an author's perspective

One other thing emerged from the ALPSP survey:

There are more authors in favour of retaining the copyright on their work themselves than relinquishing it to the publisher.⁵

That does not surprise me. Why would authors spontaneously embrace the idea of giving their work away for free?

(1) Technological indispensability

The only reason anyone would do that is if they had to in order to get published at all. That was once the case, and for good reason. There was a time when turning research output into distributable product, and distributing that product, required skills, plant and infrastructure that only publishers possessed. Authors were not, in fact, giving their work away for free; they were trading control over their work for the essential specialist services which publishers provided. But things have changed. Now, anyone with Word, Acrobat and space on a webserver can turn research output into distributable product and make that

³ <http://www.alpssp.org/publications/pub1.htm>

⁴ A. Swan, *What authors really want: the ALPSP author survey 1999*. On authors and Open Access publishing see further A. Swan and S. Brown, 'Authors and open access publishing', *Learned Publishing* 17 (2004), 219-224, with A. Swan and S. Brown, *JISC/OSI Journal Authors Survey Report* (2004). Unfortunately, there is no attempt to track differences between disciplines.

⁵ This is one of the few statements in the summary for which no percentage figure is given, so there is no (inexpensive) way of estimating the size of the majority in favour of retaining copyright.

product accessible to a global audience in minutes. In some cases, this is much more efficient than going through a conventional publisher. If the supporting evidence for your argument is 50 pages of classical Greek text displayed in carefully coordinated parallel columns, you are better off doing it yourself than entrusting the layout to a typesetter who does not understand the material being laid out.⁶

(2) Inherited market dominance

Such a radical change in the means of production and distribution must ultimately have revolutionary consequences. But the revolution has not yet happened. Authors are still surrendering control over their work. Why? In many cases, perhaps, because they still have to, or still think they have to, in order to get published. It is no surprise that there should be a lag in authors' appreciation and appropriation of the possibilities which new technologies in principle make available to them. Authors have for a long time worked under conditions in which the value of their product could not be realised at all without publisher willing to assist in its distribution. That has now ceased to be true. The change is a profound and complex one, the full practical implications of which are still unclear. It would be unrealistic to expect it to produce immediate changes in authorial behaviour. Authors have become habituated to a dependent, and even passive, role. Adjustment to the new situation will take time.

If that analysis is correct, one might be tempted to conclude that we are in a transitional period in which publishers are merely continuing to exploit an established market dominance which they have inherited from the past but are no longer earning. But that would be a simplistic conclusion: publishers still provide useful services. To take the most obvious example, putting something on a webserver is not in itself enough to guarantee effective dissemination; public availability does not lead directly to public awareness. The publisher is no longer necessary to enable the realisation of the value of the author's product, but is still capable of assisting and enhancing it. The question this raises is not whether publishers' services are still sufficiently important to warrant the old deal: we know that a majority of authors do not want that. Rather, the question is what kind of new deal those services warrant.

This is well-trodden ground: I shall just comment briefly on two issues.

⁶ See M. Heath, '[Metalepsis, paragraphe and the scholia to Hermogenes](#)', *LICS* 2.2 (2003), 1-91. Length and the very limited readership of this highly technical paper, as well as the complexities of the layout, would have made it difficult to place in a conventional journal. Similarly, M. Heath, '[Porphyry's rhetoric: texts and translation](#)', *Leeds International Classical Studies* 1.5 (2002), 1-38 makes available the (scattered and in some cases not easily accessible) texts on which M. Heath, '[Porphyry's rhetoric](#)', *Classical Quarterly* 53 (2003), 141-166 provides a commentary. Referees requested the addition of the texts to the *CQ* article, and the editor endorsed the request until it became clear how much additional space this would require. Adopting the alternative mode of publication made it possible to go even further and add a translation to the Greek texts (some of which are quite difficult). I return to the [self-archived postprint](#) of the *CQ* article below (p.10).

(3) Quality control

Peer review is important to me as an author seeking input. If I know that an article has passed peer review, I have some reason to suppose that it meets established standards of intellectual rigour and scholarly good practice. When peer review is working well, it is also a quality enhancer: referees help authors to improve their submissions. But at the minimum it provides a useful filter.

Beyond that, it does not tell me very much. When I have to decide which journals are most worth preserving in the face of cancellations forced by budgetary constraints, then of course I keep the ones which most reliably carry relevant and excellent material. But such exercises are a regrettable side-effect of Controlled Access, not an argument for it. When I am actually *using* published research, I evaluate articles, not journals. I do not care where something was published, only whether it is relevant and useful for the research I am doing here and now.

In this, at least, I am fully representative of authors in my field. Researchers in Classics have emphatically rejected publication metrics as a basis for assessing the quality of research:

Finally, and most importantly, we are totally opposed to the use of citations indexes as measures of research quality in arts and humanities. Like other humanities disciplines, we have consistently opposed publication metrics. The use of ERIH as a proxy indicator of research quality (something AHRC has indicated its intention to do) is likely to narrow the range of acceptable research topics, lead to undue pressure on researchers to publish only in certain venues, damage journals outside class A, and above all erode the valued culture of peer review in research assessment that we have long fought to maintain.⁷

Classicists are not alone in this: the reaction is common across Humanities disciplines. The AHRC itself once expressed robust scepticism about metrics:

Plausible metrics-based systems of assessment for arts and humanities research would be impossible to construct ... Metrics cannot be the basis of a quality assessment that is to carry any credibility in the arts and humanities ... There are fundamental problems with using bibliometrics and external grant income as surrogates for quality.⁸

To the extent that the AHRC has more recently shifted its position,⁹ it has ceased to be representative of its constituency. Broadly speaking, no one in my field believes that citation indices, impact factors, journal rankings, and the like can

⁷ Council of University Classics Departments, [Response to AHRC's consultation on the European Research Index in the Humanities](#) (28 April 2006).

⁸ AHRC, [Response to the Funding Councils Review of Research Assessment](#) (November 2002).

⁹ Note how 'plausibility' and 'credibility' have given way to a much weaker criterion in the [joint press release](#) issued on 4 July 2006: 'The Higher Education Funding Council for England (HEFCE) and the Arts and Humanities Research Council (AHRC) today announced that they are jointly setting up an expert group to advise them on the potential for using "metrics"—quantitative information about research activity and its outcomes—to inform both the assessment of research quality and the allocation of funding for research ... The group's remit is to advise HEFCE and AHRC on what metrics-based approaches are possible now for these purposes, or might become possible in the next few years.' But no one ever denied that the use of metrics was *possible*.

provide an acceptable proxy measure of research quality. It follows that they do not believe that the credentialing provided by publishers is a reliable index of actual quality, beyond the basic gate-keeping function—and even that is acknowledged to be fallible.¹⁰ When peer review is described as a ‘guarantee’ of quality, that is simply hype.

The quality control function is therefore limited in scope. But that does not mean that it is unimportant: there is no doubt that it needs to be preserved. It is not clear, however, that its preservation depends on publishers. The people on the front line of peer review are authors. Authors provide peer review as a service to each other, acting on a voluntary basis. There is, of course, a need for editorial intermediaries, and I recognise that the complexity of managing the process may be massively greater when one scales up to a discipline with a weight of publication as large as (for example) physics or biology. But in my discipline, at least, the publisher’s role in peer review looks sufficiently thin that it could in principle be absorbed elsewhere.

(4) Post-postprint value added

So the product has been refereed, revised and accepted. What then? How far does the value added to the author’s *postprint*¹¹ by a Controlled Access *imprint* make it reasonable for a publisher to require restrictions on the author’s use of the postprint, and rational for an author to concede them?

In the last year or two my work on Aristotle has taken an interdisciplinary turn, making me read widely in contemporary psychology, primatology and biology. The technological sophistication possible in on-line journals is still far more obvious in scientific subjects like these than in Classics; and I have been very impressed. Enhancements such as citation linking have been very helpful to me as an author seeking input. This experience has given me a lively appreciation

¹⁰ Very bad work does get published, even in high-ranking journals. But attempting to make the review process more rigorous would not necessarily produce a net benefit, since there would be an attendant risk of exacerbating the potential downside of peer review (which can stifle innovation, channel production into fashionable or overworked areas, etc). There is no reason to believe that peer review blocks the publication of good work in Classics. Excellent work often ends up in lower-ranking journals. But this is not necessarily a bad thing: it helps to preserve the discipline’s relatively flat journal hierarchy, which in turn ensures that submissions are not disproportionately concentrated, which in turn spares us the wasteful investment of peer reviewers’ effort in adjudicating which high quality submissions gain admission to the highest-ranking titles. This point of view, of course, reflects the absence of the pressures (such as publication volume and rapid turnover) which makes a steeply hierarchised prior grading of outputs essential to efficient communication in some other disciplines. Each discipline evolves patterns of publication (and corresponding patterns of peer review) that suit the specific scholarly communication needs of that discipline. For this reason, the use of bibliometrics as a proxy measure of research quality in assessments that determine research funding allocations will have the effect of incentivising inappropriate behavioural changes on the part of researchers, unless the metrics are sensitive to variations between disciplines. There is currently little evidence of any widespread understanding, or even awareness, of the nature of these variations; hence the failure of bibliometrics to command the confidence of researchers in Arts and Humanities.

¹¹ [Self-Archiving FAQ](#): ‘Eprints are the digital texts of peer-reviewed research articles, before and after refereeing. Before refereeing and publication, the draft is called a “preprint.” The refereed, accepted final draft is called a “postprint”.’

of the value added by publishers. On the other hand, using these sophisticated on-line systems has also made me much more acutely aware of the amount of content to which I do not have access. Electronic publication is making this problem worse. I can go to Manchester to read journals not available at Leeds, but only if Manchester holds the journals in printed form. Restrictive licenses on electronic subscriptions bar me from access to their e-journals. So added value is welcome. But I would rather have Open Access to raw content than added value that renders the content inaccessible.

Thesis 3: Inaccessible content has no value.

4. What should publishers be selling?

As an author seeking input, I will look quickly at many items to assess whether they are likely to be relevant or useful; most of them will be discarded in the light of that quick initial assessment. I survey much more material than I ultimately use; but the survey is needed to identify which items are worth using. This screening process requires access, but it does not require access to the definitive value-added version. An archived postprint is fine. If the initial evaluation shows that an article is going to be important for my work, then I can order the definitive version through interlibrary loan. It would not make sense to request everything that *might* be useful through interlibrary loan; I have to be selective. Access to a postprint enables me to target my interlibrary loan requests efficiently.

Normally I have to consult the definitive version, because citation conventions in Classics are exacting. Classicists want to be told which particular pages of an article you are referring them to.¹² To give exact page references, you need to consult the definitive paginated version. But consider the case of an article on the behaviour of chimpanzees from which I have recently been taking a lot of notes.¹³ It was published in *Anthropological Science*, a journal that has now gone on-line in Open Access form;¹⁴ but the article in question appeared in an earlier, print-only volume, to which I have no ready access. I would not have guessed the article's specific relevance to my enquiry from its undemonstrative title ('Ethogram and ethnography of Mahale chimpanzees'). I was only alerted to its

¹² I have seen papers in psychology that are content with the parenthetic citation '(Aristotle 1984)': that is, somewhere in the 2465 pages of J. Barnes (ed.), *The Complete Works of Aristotle* (Princeton 1984). Classicists would regard this as unhelpfully vague; the standard reference format they use for citing Aristotle can specify particular *lines* of text. Again, there are disciplinary reasons for this. For example, a 40-page article on Athenian political history in the fourth century BC may cite as evidence a passage in a Byzantine text which preserves a statement about the orator Demosthenes by a rhetorician of the third century AD; if my interest is in third-century rhetorical theory, I do not want to have to search through 40 pages of Athenian political history to find the one paragraph in which this passage is discussed. So as things stand, one of the services provided by publishers that Classicists value is the provision of a stable framework for detailed referencing.

¹³ T. Nishida, T. Kano, J. Goodall, W.C. McGrew, and M. Nakamura, 'Ethogram and ethnography of Mahale chimpanzees', *Anthropological Science* 107 (1999), 141-188.

¹⁴ <http://www.nacos.com/asn/as.html>.

significance when a Google search threw up an apparently relevant snippet of text from a postprint.¹⁵ This case does, incidentally, show that simply putting something on the web *can* be enough to achieve dissemination. It is not necessarily the most effective means: as has already been noted, publishers have ways of enhancing dissemination. But there is an unfortunate paradox if these enhancements come at the cost of access controls that simultaneously inhibit dissemination.

That, however, is a digression: my reason for mentioning this article here is that it takes the form of a glossary. If in due course I refer to this article in published research, I will cite it by headword, not by page; so I do not need access to the paginated version. I ought, strictly speaking, to consult the definitive version in order to verify the precise wording of my quotations. But that would be a costly way to achieve little, if anything, of substance. I am tempted not to bother.

So I am on the verge of taking a first step onto the slippery slope which publishers fear will lead to postprint repositories being treated as a substitute for journal subscriptions:

Librarians will increasingly find that ‘good enough’ versions of a significant proportion of articles in journals are freely available ... Both the Institute of Physics and the London Mathematical Society are therefore troubled to note an increasing tendency for authors to cite only the repository version of an article, without mentioning the journal in which it was later published.¹⁶

Leading Open Access advocates have argued robustly that this is a groundless fear:

Physics journals already *do* contain a ‘significant proportion’ of articles that have been self-archived in the physics repository, arXiv—yet librarians have not cancelled subscriptions despite a decade and a half’s opportunity to do so, and the journals continue to survive and thrive.¹⁷

I am sure that is true in the short term. A major impact on journal subscriptions would need a significant change in researchers’ working practices, and that will not happen overnight. But in the longer term, I am not so sure. Nor, apparently, are librarians:

Repositories are clearly not seen by librarians as a substitute for properly managed journal holdings ... On the other hand ... 53% say that availability via OA archives is an important or a very important factor in determining cancellations now, and this rises to 81% in the next 5 years.¹⁸

¹⁵ <http://chimp.st-and.ac.uk/cultures3/articles/ethogram.html>.

¹⁶ [ALPSP response to RCUK’s proposed position statement on access to research outputs](#) (5 August 2005). But I am puzzled by the authorial behaviour reported here: it goes without saying that I will cite *Anthropological Science* as the source of the definitive published version of the article in question.

¹⁷ S. Harnad *et al.*, ‘[Journal publishing and author self-archiving: Peaceful Co-Existence and Fruitful Collaboration](#)’ (August 2005), citing A. Swan, [Re: Open Access vs. NIH Back Access and Nature’s Back-Sliding](#), American Scientist Open Access Forum, 3 February 2005.

¹⁸ M. Ware, [ALPSP survey of librarians on factors in journal cancellation](#) (2006), 3.

If that prediction is wrong, then publishers have nothing to fear from repositories. But if a shift from reliance on journals to reliance on repositories is a possibility, then access controls are likely to accelerate it. The more authors are driven to using postprints archived in repositories by access controls that make the definitive versions harder to come by, the sooner they will get used to the routine use of postprints and integrate them into their working practices.

If this change does occur, we will be forced to conclude that authors do not value the publishers' added value as much as some suppose; it would follow that authors have correspondingly little reason to accept restrictions on postprint dissemination in return for that added value. In that case, it would be reasonable for those researchers who want and can afford the added value should pay for it, without their preference being subsidised by restrictions that prevent other researchers getting access to content that has already been paid for out of public funds.

Thesis 4: Sell added value. The content has been paid for.

5. The priority of content

To put the point another way: publicly funded content ought not to be held to ransom in order to create an artificial market for added value. Nor should that artifice be necessary. Added value will be marketable in its own right if researchers value it and are sufficiently well resourced to pay for it. If researchers do not value it (which I think is unlikely) or are not able to pay for it (regrettably, a more plausible scenario), then we would need to focus on ensuring that they have access at least to the raw content. For it is the content, not the added value, that is the ultimately indispensable component of research publications. Content is not a platform for add-ons: it *is* the product.

I suggested earlier that the ALPSP does not understand authors. They also shows signs of fundamentally misunderstanding what authors produce. That, at least, is the impression given by what is undoubtedly the most extraordinary statement that I read in preparing this presentation:

Even if the freely available version lacks some or all of the value added by the publisher, it may be treated as an adequate substitute by uninformed readers.¹⁹

If readers turn to the freely available version because access controls exclude them from the publisher's value-added version, they do so because they are under-resourced, not because they are uninformed. It is entirely rational to regard something as a more than adequate substitute for nothing. If, on the other hand, despite having access to the value-added version, they are happy to use the freely available version instead, then they must be satisfied that the freely available version meets their need: and who is likely to be better informed about their needs than the readers themselves? There is only one valid index of the value of the

¹⁹ [*Dissemination of and access to UK research outputs: response from the Association of Learned and Professional Society Publishers \(ALPSP\) to the RCUK position paper*](#) (19 April 2005).

publisher's added value, and that is the value which researchers place on it in practice.

Thesis 5: The content, not the wrapper, is the product.

6. The way ahead ...?

There are currently a number of small-scale initiatives in Open Access journal publishing in Classics.²⁰ Although such enterprises have value, they are marginally significant at present, and this is unlikely to change in the foreseeable future. This is true across the Arts and Humanities generally, for structural reasons. If the costs of publication are not recovered from subscribers, they must be met from other sources, most obviously from charges to authors. How would that new research cost be funded? The funding cannot be channelled through project grants, since most research in these disciplines is not grant-supported. Savings in journal subscriptions might in due course release the necessary resources; but these savings would not be realised until *after* authors have started to make payments to cover cost of publication—which they will not be able to do until the resources have been released. Hybrid journals, in which authors are offered the choice of paying to make their papers openly accessible, will not provide a viable transition mechanism in the absence of resources to enable the take-up of the Open Access option.²¹

So in the Arts and Humanities, postprint archiving provides a more immediately practicable route to Open Access. It is already technologically feasible; it does not depend on the development of new business models, or on a radical reform of research funding, or on the availability of additional resources to meet transitional costs; and it achieves the most fundamental goal of ensuring that raw content—the ultimately indispensable component of research publications—is accessible to researchers without impediment. This may not be a *perfect* solution, but it is *possible*, which is much more important; and any achievable improvement on what we have now is *good enough*—at least, as a starting-point.

Although, as was noted earlier, authors in the Arts and Humanities have not yet in any great numbers incorporated postprint archiving into their working practices, they generally like the idea when it is explained to them. Some do have concerns about the possible effects of Open Access on the publishing system. Such caution is understandable, since publication is a process on which individual

²⁰ As well as *Leeds International Classical Studies* (n.6) see, for example, *Göttinger Forum für Altertumswissenschaft*, *Plato*, and *Studia Humaniora Tartuensia*. *Bryn Mawr Classical Review*, a well regarded review journal established as long ago as 1990, deserves particular mention. Open Access journals do not exhaust the field: see, for example, *The Stoa: A Consortium for Electronic Publication in the Humanities*.

²¹ Under these conditions, hybrid experiments may simply give rise to false impressions of author preferences. One slide presented at the conference purported to answer the question 'Do authors want OA?', although the accompanying data about authors' behaviour in fact answered the very different question, 'Do authors want OA if this involves paying author charges for which current research funding mechanisms provide no resources?' The answer to that question is entirely predictable.

careers, and the research enterprise as a whole, critically depend.²² But Classicists are able to take a long view. Plato was concerned about the undesirable side-effects of writing books. It would no doubt be rash to draw firm conclusions before the trial period is complete; but provisional indications suggest that we are coping with the innovation reasonably well.²³

Classicists may also be able to take a relaxed view of some other issues that commonly arise in discussions of Open Access. They will recall that, happily for us, ancient authors did not defer their commitment to the novel technology of the book until libraries had been established to ensure the long-term preservation of written content; on the contrary, libraries were invented because there were books that people wanted to preserve. In the same way, solutions to the problems of preserving electronic resources will be a consequence, and should not be a condition, of migration to digital formats. As for the potential proliferation of versions, Classicists deal with texts transmitted by manual copying: no two copies are the same. We cope. For some kinds of ancient text, the notion of a ‘definitive’ version may have no meaning: oral poems and certain categories of scholarly literature may never have existed except as a fluid multiform. Having outgrown an obsession with ‘definitive’ versions of texts, Classicists may well be puzzled to encounter it in debates about Open Access. If the archived postprint of my paper on Porphyry’s rhetoric (n.6 above) includes corrections and updates which are not available in the ‘definitive publisher-authenticated’ version, it is the rigidity of conventional publishing formats that is to be regretted, not the flexibility of newer ones. One value of the marginal Open Access journals is the opportunity they provide to experiment with and demonstrate the possibilities.

Specific predictions about how people will adapt to and exploit new technologies have generally proved wrong. I place more confidence in the prediction that the research enterprise will prove to be a resilient self-adjusting system, capable of finding its own equilibrium. It is, in any case, hard to believe that we will do worse than we are doing now. The system we have is, on the face of it, crazy: universities pay academics to produce research; the academics give it away to publishers, who make it more expensive; and the universities then have to buy it back. And the system is breaking down: the escalating costs have already inflicted damage on researchers’ access to content, and are unsustainable.²⁴

²² The well-being of those learned societies which derive income from their journals is also an important matter of concern. But the Classical Association recently moved its journals to a different publisher, and in the process achieved a much more generous position on self-archiving. This was not the reason for the move: in fact, I doubt whether the Classicists involved in the decision had any awareness of the Open Access implications. But the new publisher was presumably convinced that it could sustain this supportive stance towards self-archiving without detriment to its own, or the journal owner’s, revenue.

²³ The innovation has certainly done wonders for Plato’s own citation count. We know about his concerns because the wicked old hypocrite wrote them down in the *Phaedrus*.

²⁴ At the conference, it was suggested in discussion that this crisis is less threatening in the Arts and Humanities because journals are less expensive in these disciplines: but budgets are also smaller. My own experience is that constraints on library budgets are reducing the accessibility of published research to an extent that already significantly impairs the efficiency and effectiveness of research. It takes longer to acquire less information, and the information that can be acquired is

The resolution of this crisis will ultimately (I hope) be determined by the needs of authors, in their role as consumers of the content of each others' research publications. What authors need is not necessarily what we say we want when we respond to surveys (or give conference presentations). It is only when we see how (in the longer term, not at once) authors come to use the new opportunities, and how they adjust to the problems they throw up, that we will get a reliable handle on the authors' perspective. However, my strong suspicion is that if access controls force them to a choice between added value and raw content, authors will show that what they really need is content. If so, the publishers' only hope is not to force the choice.²⁵ If they are to respond rationally to the new situation, publishers need to disentangle the marketing of added value from the distribution of raw content.

Thesis 6: The publishers' only hope is not to force the choice.

7. Authors: how do you get a herd of them moving?

Even the self-archiving route to Open Access requires change: authors must be persuaded to do it. I cannot offer anything more than guesses as to how this might be achieved. But information, facilitation and motivation must be key points.

(1) Information

Information is needed to address the basic lack of awareness of the opportunities for Open Access. One difficulty here is that the information will have to be provided by people who understand Open Access; and they have developed an extensive vocabulary, the meaning of which is not transparent to those not already in the know. Even before we get to 'eprint', 'postprint', 'archiving', 'repository' or 'metadata', a term as basic as 'Open Access' may prove a barrier to understanding: it is not self-evident that the term does not refer to (for example) an initiative in widening student participation in Higher Education. A second problem is that information which has been provided has also to be actively received, and this is unlikely to happen without a perceived relevance to the recipient's concerns. There is therefore a circular connection between information and motivation: authors need to be informed to be motivated, and need to be (in some degree, at least) already motivated to assimilate the information.

(2) Facilitation

Information is essential to facilitation. Authors must know both how to deposit, and what they can deposit. The latter is essential—if extensive enquiries are needed to establish whether one is permitted to deposit a particular item,

not necessarily available when it is needed. The end product is consequently based on a constricted range of information, less fully assimilated, and less creatively exploited.

²⁵ 'Therefore be content to guide that which you cannot stop. Fling wide the gates to that force which else will enter through the breach.' (Lord Macaulay, speech on Parliamentary Reform, 16 December 1832).

deposit will not be easy. But transparency will not be easy to achieve. Publishers must be pressed to articulate clear policies on self-archiving, and to make them readily accessible publicise (for example, easily located on the publisher's website).²⁶ The coverage of the SHERPA RoMEO database²⁷ will need to be substantially extended: a Classicist sampling the database will quickly accumulate a list of important titles for which there is currently no entry (*Historia*, *Hermes*, *Rheinisches Museum*, *Journal of Hellenic Studies*, *Proceedings of the Cambridge Philological Society* ...). Comprehensive information about publishers' policies should ideally be available inform authors' decisions about where to submit their work, not only what they should with it on acceptance or publication.

Needless to say, ease of actual deposit is also essential. But it has to be recognised that this will not be sufficient. Deposit could not be easier than it is in my own University: at present, all that one need do is e-mail a file to the ePrints Repository Officer. Even so, colleagues have not yet taken up the opportunity this affords. The main objective reason for this, I suspect, is simply that they are too busy for a new activity that is neither critical nor urgent ever to make it to the top of their immediate agenda. The greatest of all potential facilitators of self-archiving would therefore be for universities to make serious progress in addressing the problems of academic workload.

(3) Motivation

The fact that colleagues like the idea of self-archiving in principle suggests that the problem of motivation should not be insuperable. But the relative priority of the author's two ends introduces a catch. For the purposes of their own authoring, accessing other people's work has a higher priority. Researchers in the Arts and Humanities may be slow to develop the habit of self-archiving; but they seem to be catching on more quickly to the idea of retrieving material from archives. I am told (to my constant surprise) that I am to date the most downloaded Leeds author in the White Rose repository. Even when one makes allowance of my disproportionate number of deposits, the number of downloads per item seems to be higher than average for the repository as a whole. So there are researchers (that is, authors) out there who, *despite* being Classicists, are making use of—and therefore evidently value—the availability of Open Access content; this can only grow. But while authors stand to gain a clear benefit from the archiving of other people's work, the benefit to them of archiving their own work is less tangible. The prospect of increased citations is a weak incentive if you and your disciplinary peers do not take much interest in citation counts.

Moreover, there is again a terminological barrier to be surmounted. Talk of 'archiving' and 'depositing' in a 'repository' suggests consigning material to

²⁶ In 2005 one major journal publisher asked me to sign a copyright agreement which was inconsistent with the self-archiving policy stated (if one knew where to look) on their website. When I queried this discrepancy, it emerged that a different policy had been adopted for Arts, inconsistent with both the website and the agreement I was being asked to sign. The publisher did not know which (if any) of these three positions reflected the wishes of the journal's owner. (My rewriting of the agreement was not queried.)

²⁷ <http://www.sherpa.ac.uk/romeo.php>.

storage—and what would the point of that be? Such language will not convey any sense that what is under discussion is a powerful medium for enhancing communication. If the repository is ‘institutional’, the process is distanced even further from any sense of communication with the audience that matters—other researchers in the same discipline.²⁸ Of course, the archived material is in fact available to everyone; but, as was noted earlier, since public availability does not lead directly to public awareness, that is not in itself enough to guarantee effective dissemination. There are good reasons for managing deposit and conservation on an institutional basis, but dissemination is likely to be more effective by the development of discipline-specific gateways to material archived across different institutional repositories. The visibility of archived material in such gateways would certainly help researchers to see that self-archiving is a way of connecting to the audience about which they care, their disciplinary peers. Meanwhile, the link between motivation and the terms in which researchers are informed about self-archiving opportunities should again be noted.

These comments have focused mainly on problems in achieving a change in author behaviour. That is not meant to foster despondency. But realism demands acceptance of the probability that the transition will need to be patiently fostered, and will start slowly. The optimistic view is that the rate of change will accelerate as the practice gains a foothold within individual disciplinary communities,²⁹ and spreads from one researcher to another by contagion.

Thesis 7: Be comprehensible. Be patient. Be nice to authors.

²⁸ For related reasons, top-down mandates from University managements are likely to be counterproductive: if not simply ignored, they will be resented.

²⁹ In discussion at the conference, the importance of raising awareness among new entrants to the profession was noted. Requiring deposit of research degree theses might be a good start: see <http://dissonline.de/index.htm>.