

Open access policies: The role of research libraries

Iryna Kuchma

Open Access Programme manager

The V International Open Access Week, the University of Tartu Library, October 27, 2011

www.eifl.net



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SEARCH

Open 2011

In the spotlight:

EU Commissioner Kroes about Open 2011 and Open Access



News

- EU Commissioner Kroes: "Open access to research is a must for the competitiveness of Europe"
 - International Open Access Week Idea Swap
- ▶ [Read more](#)

Open 2011

Open Access Week

takes place throughout the world each autumn, with higher education institutions worldwide organising activities to raise knowledge and awareness of Open Access to research data.

In 2011 it's all about research AND education. The focus during the first week (24 to 28 October) will be on [Open Access and research](#); in the second week (31 October to 4 November), it will be on [education and Open Educational Resources](#).

#oaweek

[Open2011 on twitter](#)



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Scholarly Communications Office

Duke's Scholarly Communications Office supports Duke's research, teaching, and service mission by providing guidance for faculty, students, and staff in matters relating to the dissemination and use of knowledge. The Scholarly Communications Officer is both a librarian and an attorney experienced in copyright and technology law. He is available for individual consultations and to offer workshops and presentations; he also serves as a resource on local and national policy in order to help the Duke community stay informed and involved with the changing landscape for scholarly work and publication.

[Duke Scholarly Communications blog](#)

Other Resources

- [Information for Faculty Authors](#)
- [Copyright in Teaching](#)
- [Frequently Asked Questions](#)
- [University Policy on Copyright and Electronic Course Content](#)

More about Scholarly Communication in Universities

Rapid technological change has caused the system of scholarly communications to grow increasingly complex over the past decade or so.

As consumers of intellectual property, students and faculty have far more opportunities to use, modify and distribute the texts, images, sounds and video that are the basic materials of teaching and research. They also increasingly encounter the restrictions placed on those activities by copyright and privacy laws, as well as technological barriers.

As creators of original content, students and faculty also have more options for communicating their work to others, whether through alternative publication models, traditional journals or Web distribution. All of these new opportunities raise questions about how to protect the ownership and integrity of intellectual property while sharing it in ways that are most beneficial to both the creator and the scholarly community.

The Association of College and Research Libraries, has a [useful definition of scholarly communications and a summary of the important issues](#).

Contact Scholarly Communications

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Scholarly Communications Office

supports University's research,
teaching, & service mission by
providing guidance for faculty,
students, & staff in matters relating to
the dissemination & use of knowledge

Scholarly Communications Officer

is available for individual consultations & to offer workshops & presentations; also serves as a resource on local and national policy in order to help the University community stay informed & involved with the changing landscape for scholarly work & publication

For Faculty Authors

information on managing the copyright in their scholarly work (including journal publication agreements)

information about open access publishing

consultations on faculty resolutions calling for changes in the complex system of scholarly publishing & for more open access to scholarly research

Talking points about
managing the copyright

Practical guidance when submitting journal articles

In order to maximize the value of the research you produce in digital environment, it is important for you **to take an active role in managing the copyrights to your work.**

Copyright protection is automatic (at the moment the copyrighted work has been “fixed in a tangible medium,” such as when a written work has been saved on a computer's hard drive or printed).

(From SPARC Introduction to Copyright Resources: <http://bit.ly/mRHQHT>)

Practical guidance (2)

When you publish in a journal you are typically asked by the publisher to **sign a copyright transfer agreement**, or contract, that describes the assignment of various rights to the publisher.

Assigning your rights matters.

The copyright holder controls the work.

Transferring copyright doesn't have to be all or nothing.

(From Author Rights: Using the SPARC Author Addendum to secure your rights as the author of a journal article <http://bit.ly/cezf0w>)

A balanced approach

Authors: Retain the rights you want. Use and develop your own work without restriction. Increase access for education & research. Receive proper attribution when your work is used. If you choose, deposit your work in an open access repository where it will be permanently and openly accessible.

(From <http://bit.ly/cezf0w>)

A balanced approach (2)

Publishers: Obtain a non-exclusive right to publish & distribute a work & receive a financial return. Receive proper attribution & citation as journal of first publication. Migrate the work to future formats & include it in collections.

(From <http://bit.ly/cezf0w>)

Securing your rights

1. The SPARC Author's Addendum preserves rights for broader use of your research:
<http://scholars.sciencecommons.org>

2. If your research is funded by the donor with an open access mandate, the donor usually offers language that modifies a publisher's copyright agreement to give you the rights to follow donor's open access policy.

(From SPARC Introduction to Copyright Resources: <http://bit.ly/mRHQHT>)

http://scholars.sciencecommons.org

The screenshot shows a web browser window with the following elements:

- Browser Title Bar:** Science Commons: Scholar's Copyright Agreement - Opera
- Menu Bar:** File Edit View Bookmarks Widgets Feeds Tools Help
- Address Bar:** http://scholars.sciencecommons.org/
- Search Bar:** Search with Google
- Page Content:**
 - Section Header:** Scholar's Copyright Addendum Engine
 - Logo:** CC science commons
 - Text:** The Scholar's Copyright Addendum Engine will help you generate a PDF form that you can attach to a journal publisher's copyright agreement to ensure that you retain certain rights.
 - Link:** [\(get started\)](#)
 - Section Header:** Description
 - Text:** Each addendum gives you non-exclusive rights to create derivative works from your Article and to reproduce, distribute, publicly perform, and publicly display your article in connection with your teaching, conference presentations, lectures, other scholarly works, and professional activities. However, they differ with respect to how soon you can make the final published version available and whether you can authorize others to re-use your work in various ways. Below is a summary of the available options.
 - Section Header:** Science Commons / SPARC Addendum
 - Section Header:** Access - Reuse:
 - Text:** You retain sufficient rights to grant to the reading public a Creative Commons Attribution Non Commercial license or similar license that allows the public to re-use or re-post your article so long as you are given credit as the author and so long as the reader's use is non-commercial. (This is a joint offering from Science Commons and SPARC and represents a new version of the former SPARC Addendum.)
 - Section Header:** Other Options From Science Commons
 - Section Header:** Immediate Access:
 - Text:** You retain sufficient rights to post a copy of the published version of your article (usually in pdf form) online immediately to a site that does not charge for access to the article. (This is similar in many ways to the MIT Copyright Amendment below)
 - Section Header:** Delayed Access:
 - Text:** You also have the right immediately to post your final version of the article, as edited after peer review, to a site that does not charge for access to the article, but you must arrange not to make the published version of your article available to the public until six months after the date of publication.
 - Section Header:** Additional Options from MIT
 - Section Header:** MIT Copyright Amendment:
 - Text:** Developed at MIT, this amendment is a tool authors can use to retain rights when assigning copyright to a publisher. It will enable authors to continue using their publications in their academic work at MIT, to deposit them into the MIT Libraries' DSpace repository, and to deposit any NIH-funded manuscripts on the National Library of Medicine's PubMed Central database. More information is available from [the MIT Libraries](#).
 - Section Header:** Instructions for Use

The browser's taskbar at the bottom shows several open applications: EIFL.net Mail - Inbox..., eJFL, Science Commons: ..., EIFL_2010_GA_Progr..., and OA copyright.odp - ... The system tray on the right shows the time as 12:54.

http://scholars.sciencecommons.org

Science Commons: Scholar's Copyright Agreement - Opera

File Edit View Bookmarks Widgets Feeds Tools Help

Science Commons: Sc... x

http://scholars.sciencecommons.org/ Search with Google

MIT Copyright Amendment:
Developed at MIT, this amendment is a tool authors can use to retain rights when assigning copyright to a publisher. It will enable authors to continue using their publications in their academic work at MIT, to deposit them into the MIT Libraries' DSpace repository, and to deposit any NIH-funded manuscripts on the National Library of Medicine's PubMed Central database. More information is available from [the MIT Libraries](#).


Instructions for Use

1. Enter the information requested and select the option of your choice from the menu below.

Manuscript Title	<input type="text"/>	?
Journal	<input type="text"/>	?
Author Information	<input type="text"/>	? +
Publisher	<input type="text"/>	?
Agreement Type	<input type="text" value="Delayed Access"/>	?

 - Delayed Access
 - Access-Reuse
 - Immediate Access
 - MIT Amendment
2. Save the PDF addendum that is generated.
3. Print the addendum, and sign and date it.
4. Sign and date the publisher's agreement. Immediately below your signature on the publisher's form, write: "Subject to attached Addendum." This is very important because you want to make clear that your signature is a sign that you accept the publisher's agreement only if the publisher accepts you Addendum.
5. Make a copy of all three documents (the publisher's form, your Addendum, and your cover letter) for your records.
6. Staple the three original documents together.
7. Mail the three original documents to the publisher.

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EC resources

26 FEBRUARY 2010

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The European Commission has provided a comprehensive set of resources to explain the details of the open access pilot in FP7:

- > **Annex 1 - Special clauses (see clause 39)**
- > **Leaflet Open access pilot in FP7**
- > **Powerpoint presentation on open access pilot**
- > **Guide to Intellectual Property Rules for FP7 projects pg. 15 - 18, section 7.3**
- > **Guidance notes on Project Reporting, see especially pg 5, 25, 32**

Model cover letter for amendment to publishing agreement:

BG CS DA DE EL EN ES ET FI FR HU IT LT LV MT NL PL PT RO SK SL SV

Model amendment to publishing agreement:

BG CS DA DE EL EN ES ET FI FR HU IT LT LV MT NL PL PT RO SK SL SV

- Users**
- ◆ Researchers
 - ◆ Librarians
 - ◆ Publishers
 - ◆ Administrators
 - ◆ Public
 - ◆ Students
 - ◆ Sign In

- Resources**
- ◆ Briefing Papers
 - ◆ Guides and Overviews
 - ◆ Video
 - ◆ Presentations
 - ◆ The Open Access Map
 - ◆ Open Access Tracking Project
 - ◆ News from the community

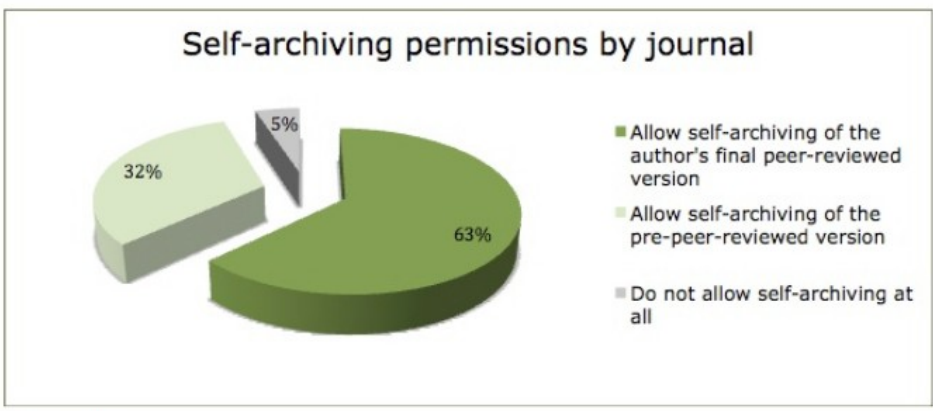
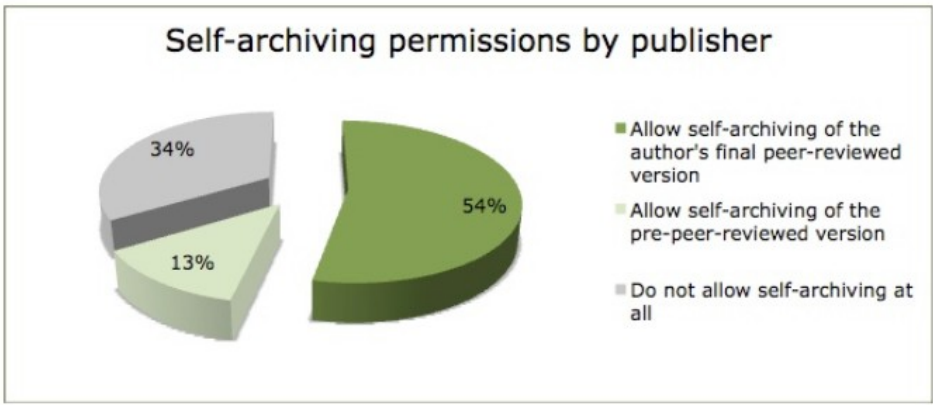
ADD THIS

Researchers

Publisher permissions and embargoes

Researchers

The main concern of researchers about Open Access is whether they are 'allowed' to self-archive their (own) work to increase its visibility and impact. In the majority of cases this concern can quickly be dissipated. Over 60% of journals permit authors to self-archive their articles, some without any embargo period at all, before they can make them Open Access (see charts below).



Topics

- ◆ Open Access: what is it and why should we have it?
- ◆ Benefits of Open Access for research dissemination
 - Citation impact
 - Managing your research profile
 - Research metrics
- ◆ Researchers in Developing Countries
- ◆ Ways to provide Open Access to your work
 - Open Access Repositories
 - Self-Archiving FAQs
 - Open Access Journals
 - Setting up an Open Access journal
 - Publish your book in Open Access
- ◆ Author's Concerns
 - Author's Rights and Author Addenda
 - Publisher Permissions and Embargoes
 - Researchers



... opening access to research

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Publisher copyright policies & self-archiving

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Search

Journal titles or ISSNs Publisher names

Exact title starts with contains ISSN

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Use this site to find a summary of permissions that are normally given as part of each publisher's copyright transfer agreement.

RoMEO News

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- [Access Keys Available for SHERPA/RoMEO API V.2.9](#) - 19-Oct-2011
- [1000th Publisher added to SHERPA RoMEO](#) - 06-Sept-2011
- [API Implications of the Recent SHERPA/RoMEO Upgrade](#) - 24-Aug-2011

Special RoMEO Pages

[More >>](#)

- [Publishers Allowing use of their PDFs in Repositories](#)
- [RoMEO Statistics](#)
- [Application Programmers' Interface \(API\)](#)

Additions and Updates

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- [Presses de l'Ifpo](#) - 21-Oct-2011
- [Acta Didactica Norge](#) - 21-Oct-2011
- [Norsk Ornitologisk Forening](#) - 21-Oct-2011



How OA benefits your work & career

Distribution & usage

Immediate access to your research output for everyone upon official publication

More visibility & usage

Immediate impact of your work

Intensification of research through fast dissemination & use of research;

Possibly a citation advantage as well

How OA benefits your work and career (2)

Plus:

Monitoring of your research output

Preservation of your research output by your library

Keep your rights instead of signing them away

“Michael Faraday’s advice to his junior colleague to: “Work. Finish. Publish.” needs to be revised. It shouldn’t be enough to publish a paper anymore. If we want open science to flourish, we should raise our expectations to: **Work. Finish. Publish. Release.**” That is, your research shouldn’t be considered complete until the data & meta-data is put up on the web for other people to use, until the code is documented & released, and until the comments start coming in to your blog post announcing the paper. If our general expectations of what it means to complete a project & raised to this level, the scientific community will start doing these activities as a matter of course.”

(What, exactly, is Open Science? by Dan Gezelter:
<http://www.openscience.org/blog/?p=269>)

Open access policy



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Duke Libraries > Open Access at Duke University

Duke OPEN ACCESS POLICY

Prologue

Among the enduring themes of Duke's strategic plan are knowledge in the service of society and affordability and access, key components of our goal as a research university to create, disseminate and preserve knowledge. In Spring 2009, Provost Peter Lange established the Digital Futures Task Force to propose a set of measures that Duke University can undertake to further these ends.

The proposed Open Access policy would provide the legal basis for Duke to preserve the work of Duke scholars in a permanent digital repository and to provide access to that work to anyone who seeks it. The policy is intended to serve the faculty's interests by allowing articles to receive open distribution, simplifying authors retention of distribution rights, aiding preservation, and providing unified action to discourage publishers from rejecting articles because they will be available in open access. In any case in which the license works against the interest of a faculty member, the policy allows for waiver of the license or delay of distribution.

While the precise mechanisms by which this will work have not yet been fully developed, the intention is that this policy will not result in more work for the faculty, and it is worth a relatively small investment because, in many fields, work published in journals is not accessible to those who do not subscribe to the journal or whose libraries don't subscribe.

By joining research universities such as Harvard, Stanford and MIT as well as funding agencies including NIH in adopting an open access policy and building digital repository service, Duke becomes part of a growing and important movement toward a new mode of open access scholarly publication.

Policy Text

The Faculty of Duke University is committed to disseminating the fruits of its research and scholarship as widely as possible. In addition to the public benefit of such dissemination, this policy is intended to serve faculty interests by promoting greater reach and impact for articles, simplifying authors' retention of distribution rights, and aiding preservation. In keeping with these commitments, the Faculty adopts the following policy.

Each Faculty member grants to Duke University permission to make available his or her scholarly articles and to reproduce and distribute those articles for the purpose of open dissemination. In legal terms, each Faculty member grants to Duke University a nonexclusive, irrevocable, royalty-free, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do so, provided that

Background Information about the Duke Open Access Policy

Drawn from the FAQ developed to inform discussions before the adoption of the policy in spring 2010

[Benefits of open access and an institutional repository](#)

[Is this policy unique?](#)

[Impact of the policy](#)

[DukeSpace and the planned service model for assisting with deposit](#)

[Visit DukeSpace](#)

More information about open access to scholarship

[General overview of open access publishing, from Wikipedia](#)

[Overview of open access issues, from SPARC the Scholarly Publishing and Academic Resources Coalition](#)

[Open Access Directory](#)

[Open Access Overview](#)

[Open Access Scholarly Information Sourcebook \(OASIS\)](#)

How to start

FAQ to inform discussions before adoption of the policy <http://library.duke.edu/openaccess/duke-openaccess-policy.html>

Benefits of open access & an institutional repository

Is this policy unique?

Impact of the policy

Institutional repository policy & the planned service model for assisting with deposit

Visit institutional repository

How to start (2)

the Task Force, a group appointed by the Provost to explore issues related to the evolution of & support for new models of digital information use, management, dissemination, & preservation;

includes representatives of all faculties, office of Provost, library and university press

<http://library.duke.edu/openaccess/duke-openaccess-policy.html>

The Task Force

Draft an open access policy based on the model set by others;

Review the draft with many faculty & administrative governance groups;

Revise the document based on feedback from faculty.

Present & discuss the draft policy at the Academic Council meeting.

The goal: to adopt the policy with a unanimous vote

<http://library.duke.edu/openaccess/duke-openaccess-policy.html>

ROARMAP

Home About Browse by Country Browse by Type

Login | [Create Account/Register Policy](#)

Search
[Advanced Search](#)

Queensland University of Technology

Queensland University of Technology (25 Feb 2004)

INSTITUTION or FUNDER URL: <http://www.qut.edu.au/>

MANDATE URL and TEXT

http://www.mopp.qut.edu.au/F/F_01_03.jsp

Material which represents the total publicly available research and scholarly output of the University is to be located in the University's digital or "E print" repository, subject to the exclusions noted. In this way it contributes to a growing international corpus of refereed and other research literature available on line, a process occurring in universities worldwide.

The following materials are to be included:

refereed research articles and contributions at the post-print stage (subject to any necessary agreement with the publisher); refereed research literature at the pre-printed stage (with corrigenda added subsequently if necessary at the discretion of the author); theses (as prepared for the Australian Digital Theses (ADT) process); un-refereed research literature, conference contributions, chapters in proceedings, etc.

The material is to be organised in the repository according to the same categories used for the reporting of research to DEST [provide link to where this can be accessed].

Material to be commercialised, or which contains confidential material, or of which the promulgation would infringe a legal commitment by the University and/or the author, should not be included in the repository.

Contributed by Cochrane, Tom (Deputy Vice-Chancellor (Technology, Information and Learning Support))

MANDATE TYPE: Institutional Mandate

REPOSITORY URL(s): <http://eprints.qut.edu.au/>

Depositing User: Tim Brody

Date Deposited: 25 Feb 2004 00:59

Last Modified: 28 Feb 2011 15:02

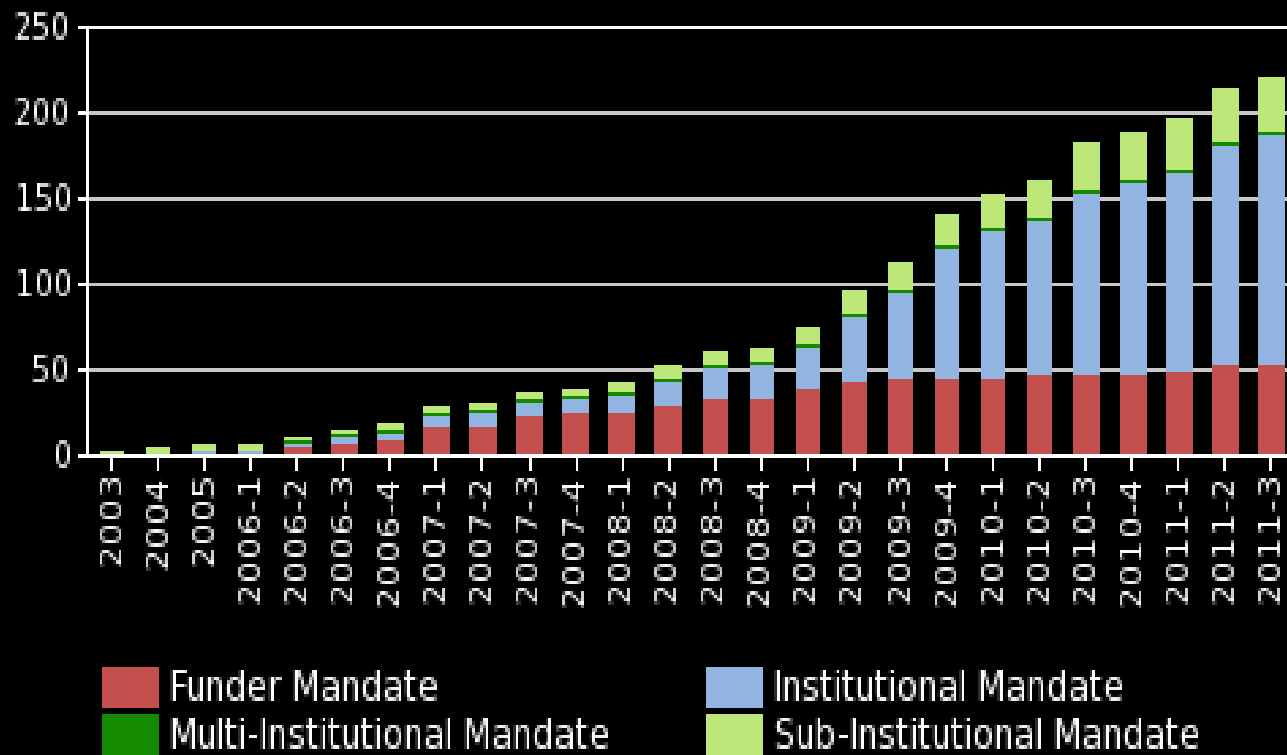
OA policy options

Voluntary: requesting that researchers make their work OA in the institutional repository

or

Mandatory: requiring that researchers make their work OA in the institutional repository

Mandatory policies do result in a high level of self-archiving which in turn provides a university with the increased visibility and impact.



Open access policy options

Request or require?

If you are serious about achieving OA for the research you fund, **you must require it.**

(Peter Suber's Open access policy options for funding agencies and universities
<http://bit.ly/1Tp1KV>)

Green or gold?

If you decide to request & encourage OA, rather than a mandate it, then you can **encourage submission to an OA journal & encourage deposit in an OA repository as well**, especially when researchers publish in a toll access journal.

Green or gold? (2)

But if you decide to **mandate OA**, then you should **require deposit in an OA repository** & not require submission to an OA journal, even if it also encourages submission to an OA journal.

Deposit what?

The final version of the author's peer-reviewed manuscript

Data

A citation and link to the published edition

Deposit what? (2)

Allow the deposit of unrefereed preprints, previous journal articles, conference presentations, book manuscripts, the journals edited or published on campus, open courseware, administrative records, digitization projects from the library, theses & dissertations

Scope of policy

For simplicity & enforceability, follow the example of most funding agencies: apply your OA policy to **research you fund "in whole or in part"**

What embargo?

No more than six months.

Any embargo is a compromise with the public interest; even when they are justified compromises, **the shorter they are, the better.**

What exceptions?

Private notes, records not intended for publication, classified research

Patentable discoveries

Royalty-producing books

A legal basis

Two options for creating a legal basis to distribute open access copies of peer-reviewed manuscripts by their faculty:

1. can seek permission from publishers, & only distribute open access copies when they succeed in obtaining it.

A legal basis (2)

2. can ask faculty to retain the right to provide open access on the university's terms (& grant the university non-exclusive permission to provide that open access), even if faculty transfer all their other rights to publishers.

The second option can support open access for 100% of the faculty research output, while the first option would support much less.

Some practices

When universities need to see a list of a faculty member's recent journal publications (e.g. for promotion, tenure, or post-tenure review), they should either draw up the list from the institutional repository or request the list in digital form with live links to open access copies in the institutional repository.

Some practices (2)

They should tell faculty that they will limit their review of journal articles to those on the list, unless the faculty member writes a special justification for the Dean.

Policies along these lines are already in effect at Katholieke Universiteit Leuven, Laboratoire de Psychologie et Neurosciences Cognitives (at the University of Paris - Descartes), Charles Sturt University, & the National Research Council Canada.

Some practices (3)

Open access here means at least removing price barriers (making content free of charge).

But when possible, the policy should remove permission barriers as well (making content free of unnecessary copyright & licensing restrictions).

For example, the University of Auckland releases student theses and dissertations under Creative Commons licenses.

Supporting open access journals & books

Open Journal System can be used to manage the open access journals.

Or institutional repositories can provide hosting, publication & dissemination platform for the journals published on campus.

Universities could create a fund to pay reasonable publication fees at fee-based open access journals (or subsidies to no-fee open access journals).

Open educational resources

A University library could support dissemination of open educational resources hosting them in the institutional repository.

Open data

A University library could support dissemination of open data hosting them in the institutional repository (e.g linked to the journal articles).

Repository management

Budget: Managing the repository budget & responding to user needs in line with resources;

Strategic planning: Developing a strategy & costing for the future development of the repository;

Fundraising: Sourcing funding opportunities for repository projects;

Repository management (2)

Workflows: Developing workflows to manage the capture, description & preservation etc. of repository outputs;

Personnel: Coordinating & managing activities of repository personnel & coordinating repository development with associated departments.

Content & usage

Policies: Developing a content policy for the repository;

Quantity & quality: Increasing the amount & quality of items deposited in the repository;

Collections & user satisfaction: Setting up test collections & running user satisfaction surveys to evaluate the service;

Content & usage (2)

Deposit, download & other usage

indicators: Monitoring deposit, download & other usage indicators to identify the impact & success of the repository & areas for improvement in the service; producing usage reports;

Content & usage (3)

User expectations: Managing user expectations to ensure that expected service delivery is achievable; handling comments, complaints & relationships if service delivery does not meet user demand.

Advocacy, Training & Support, Liaison

Advocacy programmes: Developing advocacy programmes to address the full spectrum of stakeholders to create a broad culture of engagement within the institution;

Advocacy & publicity materials: for use within the institution e.g. webpages, guides, FAQs & presentations; institutional newsletters, seminars & email alerts etc;

Advocacy, Training & Support, Liaison (2)

Training: Assessing the training needs of specific stakeholder groups within the institution; developing suitable training programmes & materials for those groups; organizing & running training sessions;

Helpdesk: Answering queries & providing advice;

Advocacy, Training & Support, Liaison (3)

Liaison (internal and external):

Coordinating repository development with associated departments; liaising with a wide range of institutional departments & interest groups (e.g. students); promoting the repository outside the institution as a showcase of the institution's work; liaising with external stakeholders in repository development

Based on

The SPARC Open Access Newsletter, issue
issue #127 & #130 by Peter Suber:

<http://bit.ly/1Tp1KV>

<http://bit.ly/oD5rXY>

Three principles for university open access
policies: <http://bit.ly/qw2jNT>

Some more links

Open Access Scholarly Information
Sourcebook (OASIS):

Developing an institutional OA policy:
<http://bit.ly/mRIqj4>

The Optimal Open Access Policy for
Institutions (OASIS) – and FAQ:
<http://bit.ly/p5ztqj>

Some more links (2)

Repositório Científico de Acesso Aberto de Portugal (RCAAP) Open Access Policies Toolkit: <http://bit.ly/oLXkch>

SPARC Campus Open Access Policies: <http://bit.ly/b6LiZf>

Thank you! Questions?

ikuchma@gmail.com

eniff