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Open access and OA policies on campus

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November 21, Ryerson University, Library Collaboratory (LIB387) A day for members of the Ontario scholarly communication community to share insights and learn from each other on a variety of topics related to our day-to-day work.

Open Research is a publicly accessible, curated repository for the preservation and dissemination of scholarly and creative output of the OCAD University community. Material in Open Research is open access and made available via the consent of the author and/or rights holder on a non-exclusive basis.

Open access and OA policies on campus

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Today's agenda

- OA policy prevalence, impact & types
- Case studies from Brock, OCAD, York and Windsor
- Common wins & challenges
- Questions



Photo by [Hope House Press - Leather Diary Studio](#) on [Unsplash](#)

Open Access policies: what and why

- Two main types:
 - Funder
 - Institutional
- Why?
 - Enhance participation in OA
 - Expand reach of research: individual, institutional
 - Accelerate research
 - Guidance for researchers
 - Support funder policies

Open access institutional policies: where

- Globally n=865:
 - Research organization - 777
 - Sub-unit of research org - 77
 - Multiple research organizations - 11
- European research organizations - 521
- U.S. research organizations - 93

Open access institutional policies: where

Canada:

- 11 institution-level policies/resolutions
 - 2 Faculty/school level
- 6 library policies/resolutions

Impact of OA policies

Researchers:

- Wider dissemination of outputs without access restrictions
- Greater full-text access to research published in their area
- Increased impact:

*“...accounting for age and discipline, **OA articles receive 18% more citations than average**, an effect driven primarily by Green and Hybrid OA.”[1]*

[1] “The state of OA: a large-scale analysis of the prevalence and impact of Open Access articles”, Heather Piwowar, Jason Priem et al, PeerJ, 2018 Feb 13, doi 10.7717/peerj.4375

Impact of OA policies

Institutions/Funders:

- Research will be more accessible to global researchers
- Prestige of high-profile researchers could increase while lesser-known researchers can gain more exposure
- Commercial and cultural benefits from research being open to entrepreneurs, citizen scientists and the general public

Source: Swan, Alma. *Policy Guidelines for the Development and Promotion of Open Access* - UNESCO Digital Library, 2012. <https://unesdoc.unesco.org/ark:/48223/pf0000215863>.

Institutional OA policies: two main categories

1. Resolutions
2. Rights retention

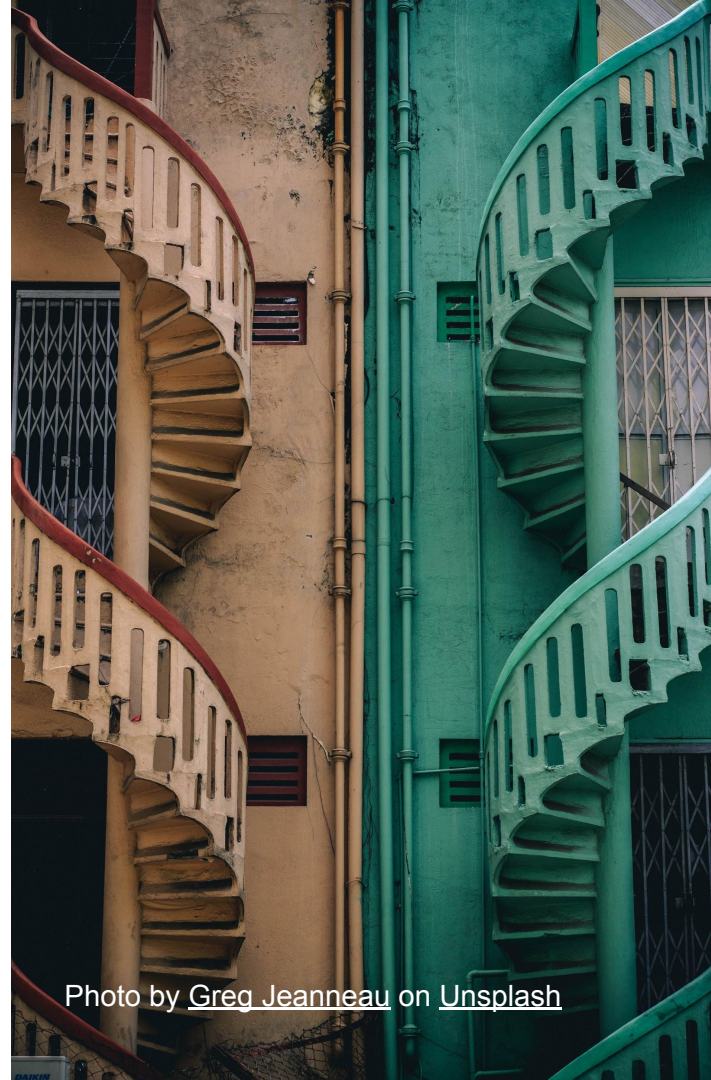


Photo by [Greg Jeanneau](#) on [Unsplash](#)

Resolution-based policies

- Encouragement but no mandate, consequences
- Commonly terms:
 - “Make best possible effort”
 - “Strongly encouraged”
 - “Committed to”

Resolutions: examples

[Athabasca Open Access to Research Outputs Policy](#)

- “Researchers are **encouraged** to make the results of their research permanently accessible online ...”

[Concordia University Senate Resolution on Open Access](#)

- “Senate recommends that Concordia University...**encourages all faculty members** to deposit an electronic copy of their refereed research output and creative work into Spectrum...”

Resolutions: examples

[CAUT Open Access Policy Statement](#)

- “The public good is served by the widest and most accessible dissemination of scholarly work. This goal is facilitated when academic staff make their work available in reputable open access venues and foster a culture of open access at their institutions and within their research networks.”

Rights retention policies

- Researcher grants non-exclusive right for institution to disseminate work via repository
- Researchers may retain copyright
- Waiver option

Rights retention: examples

SFU

- “To facilitate the archiving of our work, we grant Simon Fraser University the **non-exclusive permission to archive, preserve, reproduce and openly disseminate**, in any medium, all scholarly articles authored by us, provided that the articles are properly attributed to the authors, and that it is done for non-commercial purposes.”

U of O Library

- “We grant the University of Ottawa **the non-exclusive right to make our scholarly publications accessible** through uO Research subject to copyright restrictions.”

Resolutions

- Not prescriptive
- Easier to implement
- Low impact:
 - Low rates of self-archiving
 - Little change to publishing practices

Rights retention policies

- Open by default
- Strengthens authors' rights
- Higher rates of self-archiving
- No impact on where to publish
- Self-archiving = more work for faculty
- Publisher copyright barriers to archiving

From the trenches: case studies



Trenches Near Angres. A.Y. Jackson. Beaverbrook Collection of War Art:

<https://www.warmuseum.ca/firstworldwar/objects-and-photos/art-and-culture/official-art/?target=1855>



York University Case Study: Institutional Open Access Policy



Senate Policy on Open Access

The York University Senate Policy on Open Access supports the following:

- The development and provision of resources to help faculty members benefit from the increased visibility of their scholarship resulting from open access publication
- The deposit of scholarship in an open access digital repository such as YorkSpace
- The researcher's individual choice on where they can publish, alongside supporting decisions that encourage free access
- Discipline-and field-specific conventions that encourage tailored choices regarding open access publications

Senate Policy on Open Access

Timelines for complying with the policy are described as follows:

- Peer-reviewed journal articles resulting from Tri-Agency grants must be open access within 12 months of initial publication.
- Scholarly articles should be submitted to the repository as early as possible, ideally between the date of acceptance and the date of publication. If applicable, an embargo date can be set to meet publisher requirements.
- Exceptions can be granted upon notification.

Open Access/Open Data Steering Committee Goals

In response to the Tri-agency policy, the Open Access/Open Data Steering Committee was created in June 2016 with the following goals:

- **Education:** To raise awareness about open access publishing and develop educational materials to support faculty in learning about open access.
- **Infrastructure:** To survey and make recommendations about the resources required by York faculty to fully benefit from the potential of Open Access Publishing to improve the dissemination of knowledge.
- **Policy:** To propose a framework that might be adopted by the university to initiate a broader institutional adoption of Open Access in line with the requirements of the Tri-agency policy.

OAOD Committee Consultation

Within committee (2016-2017):

- Committee composed of faculty representatives from each of the faculties at York
- Administrative representatives from IT, ethics, and research office also heavily involved
- Open Access Working Group

Within larger campus community (2018-2019):

- Consultations with each faculty council
- For large faculties, consultations with departmental chair groups
- Open forums at both campuses
- Academic Policy, Planning and Research Committee
- York University Senate

Feedback from Consultations

Why not emphasize **gold open access** as well?

We want/need **more education** on open

Freedom to choose where to publish

Disciplinary differences matter

What about **monographs**?

What about **data**?

Brock University case studies

- [Library Open Access Resolution](#)
- Brock University Open Access Policy Working Group



Brock OA Policy Working Group

- Established May 2018
- Reports to Senate Research and Scholarship Policy Committee
- Members: faculty, librarians, legal counsel
 - Focus: rights retention and green OA

Brock OA Policy Working Group

- Dec. 2018- April 2019
- 13 consultations with Faculties, Councils, Research Services, Faculty Association
- Currently drafting rights retention policy, copyright addendum, waiver and FAQ

What we heard

- Support for OA
- Unaware of repository/indexing
- No strong view on type of policy
- Concerns:
 - Conflicts with academic freedom (but not from BUFA)
 - Workload
 - Sufficient infrastructure?
 - Repository is cumbersome
 - Disadvantages Brock researchers when publishing

OA Policy: The OCAD U case study



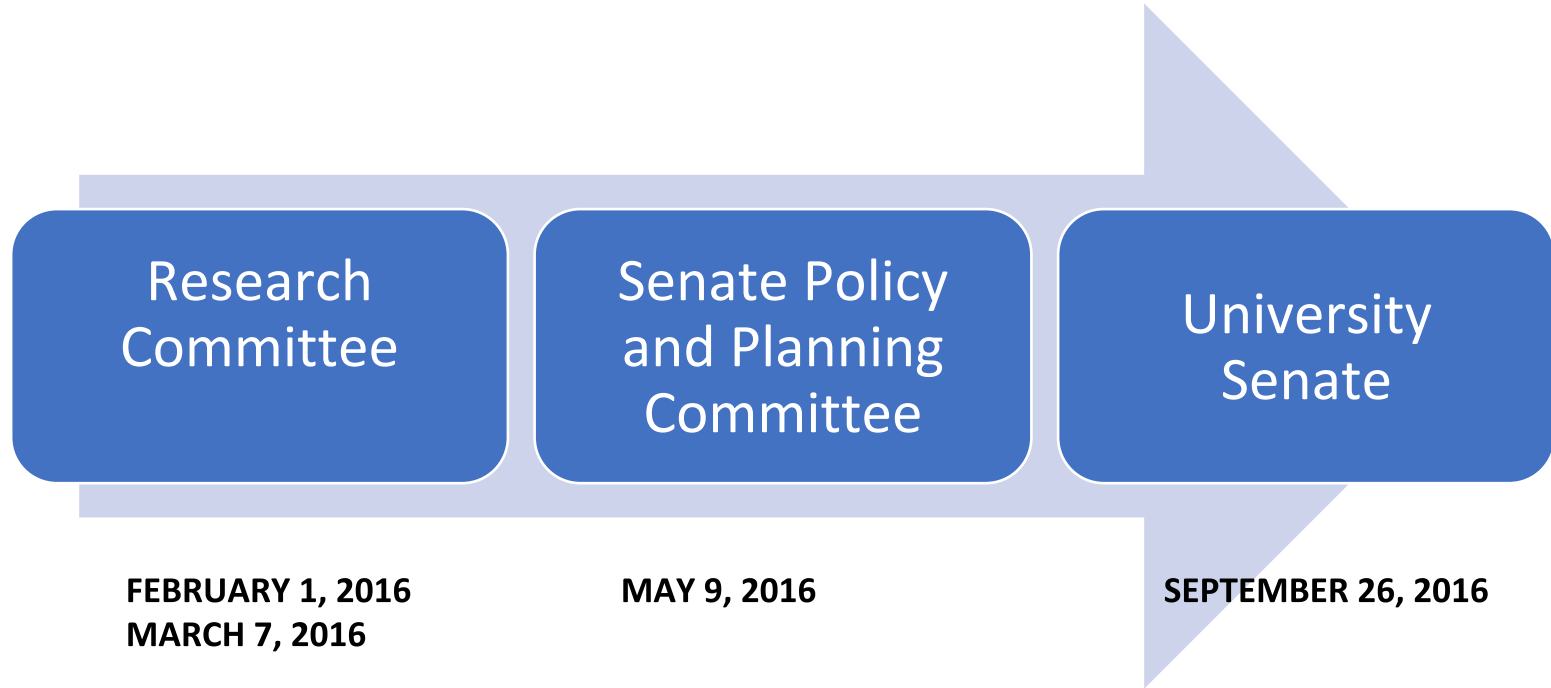
Successful applicant for the 2015 OCULA New Librarian Residency Award

In Fall 2015 OCAD U had just launched Open Research, a (mostly empty) institutional repository

Challenges

- Faculty not forthcoming with manuscripts
- Archives: Image copyright concerns
- Committee decides to pursue an Open Access Policy

Steps toward approval



The Statement of Support for Open Access

OCAD University recognizes that open access is consistent with its commitment to accessibility, transformative education, scholarship, research, and innovation. OCAD University encourages all OCAD U authors and creators to deposit their research outputs into OCAD University's Open Research Repository for preservation and dissemination.





Observations

- Concern about “permanence” of deposits re: theses
- Concerns that OA is harder for some disciplines than for others
- What we meant by “permitted copies” was unclear to some
- The citation advantage argument wasn’t very persuasive / Perception that the library was dictating what was best for faculty
- There was some confusion regarding green and gold OA

University of Windsor Case Study

UWindsor Case Study

On May 8th, 2015, our University Senate passed the University of Windsor's Open Access policy.

All faculty and staff are strongly encouraged to deposit digital copies of publications on which they are authors or co-authors in the *Scholarship at UWindsor* institutional repository.

However, researchers whose work is subject to the terms of the *Tri-Agency Open Access Policy on Publications* **will be required to deposit or make available an electronic copy of his or her publication in Scholarship at UWindsor.**

By doing so authors will satisfy the terms of the Tri-Council policy while at the same time aligning with the university's efforts to provide both broad dissemination and long-term preservation for campus research publications.

When depositing to *Scholarship at UWindsor*, authors grant the university the right to make their published articles available for open dissemination on a non-exclusive basis.

Understanding and Complying with the Tri-Council and University Open Access Policies

(1) Select a journal to publish in that suits the content of your research.



(2) Understand the journals article posting policy or open access policy

Ask a [your librarian](#)
Look it up in [Sherpa/Romeo](#)
Check the publisher's website



Is the Journal Open Access?

YES



Publish in that journal. Article processing fees are an eligible cost for grants.

We require a copy to host in [Scholarship at UWindsor](#).

NO



Does the journal allow posting within 12 months of publication?

YES



Post a copy of your peer reviewed accepted manuscript in [Scholarship at UWindsor](#) and any other open access collections you wish to contribute to.

NO



Please contact [your librarian](#) for guidance on next steps.

We can help you to communicate with publishers about your Tri-Council requirements.



University
of Windsor

Scholarship at UWindsor

Open Access to the University's Scholarly and Creative Works

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LEDDY LIBRARY PUBLICATIONS

Open Access Policies and Academic Freedom: Understanding and Addressing Conflicts

[Dave Johnston](#), *University of Windsor*

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Document Type

Article

Publication Date

4-2017

Publication Title

Journal of Librarianship and Scholarly Communication

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Open Access to the University's Scholarly and Creative Works

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Search

Despite these potential roadblocks, a case can be made that OA policies are not in conflict with academic freedom given they do not produce the harms that academic freedom is intended to protect.

Open Access Policies and Academic Freedom: Understanding and Addressing Conflicts

[Dave Johnston](#), *University of Windsor*

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Results: 4,054

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- Open Access (767)

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1 of 406

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 By: Yu, Joanne; Butler, Ian S.
 APPLIED SPECTROSCOPY REVIEWS Volume: 50 Issue: 2 Pages: 152-157 Published: 2006
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2. **Late Cretaceous metallogeny in the Zhongdian area: Constraints from Re-Os dates on pyrrhotite from the Hongshan Cu deposit, Yunnan, China**
 By: Zu, Bo; Xue, Chunji; Zhao, Yi; et al.
 ORE GEOLOGY REVIEWS Volume: 64 Pages: 1-12 Published: JAN 2015
 Full Text from Publisher View Abstract
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 By: Nasif, G.; Barron, R. M.; Balachandar, R.
 INTERNATIONAL JOURNAL OF HEAT AND MASS TRANSFER Volume: 80 Pages: 539-550
 Full Text from Publisher View Abstract

Analyze Results

Calculator

Standard

0.1891958559447459

MC	MR	M+	M-	MS	M ⁻
%	\sqrt{x}	x^2	$\frac{1}{x}$		
CE	C	\times	\div		
7	8	9	\times		
4	5	6	-		
1	2	3	+		
+/-	0	.	=		

Funding Agencies

Refine

Exclude

The first 100 Funding Agencies (by record count) a

- NATURAL SCIENCES AND ENGINEERING RESEARCH COUNCIL OF CANADA (1,164)
- NATIONAL NATURAL SCIENCE FOUNDATION OF CHINA (296)
- UNIVERSITY OF WINDSOR (200)
- CANADA RESEARCH CHAIRS (192)
- CANADA FOUNDATION FOR INNOVATION (152)
- CANADIAN INSTITUTES OF HEALTH RESEARCH CIHR (84)
- ONTARIO GRADUATE SCHOLARSHIP (74)
- NATURAL RESOURCES CANADA (72)
- SOCIAL SCIENCES AND HUMANITIES RESEARCH COUNCIL OF CANADA SSHRC (72)
- SWISS NA FOUNDAT
- MITACS (1
- AUSTRAL
- GOVERN
- NATURAL JIANGSU
- FISHERIE (15)
- EUROPEA
- GERMAN DFG (14)

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...More

Create an alert

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Search within results for...

Filter results by:

-  Highly Cited in Field (8)
-  Open Access (284)

Refine

Calculator

Standard

0.2132132132132132

0.2132132132132132

MC	MR	M+	M-	MS	M*
%	\sqrt{x}	x^2	$\frac{1}{x}$		
CE	C	\times	\div		
7	8	9	\times		
4	5	6	-		
1	2	3	+		
\pm	0	.	=		

Lesson from the Leddy Library...

“Workflow is the new content”

-- Lorcan Dempsey

Common Wins

- Identified researchers sympathetic to OA (and skeptics)
- Gauged/confirmed support for Open Access among university leadership
- Spread the word of repository as a service
- Library now seen as a future go-to for questions about OA

Common Challenges

- Feeling like you're starting at ground zero with a lot of campus stakeholders
- Addressing the tension with prevailing T&P criteria in different disciplines
- Useful at everything except what we wanted it to. Doesn't necessarily translate to increased deposits.
- Buy-in from librarian colleagues as well as faculty

Questions?

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