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Open Access and the Institutional Repository

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Open Access and the Institutional Repository

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Overview

- Open Access policies or mandates = shifting the default to open access; overcoming copyright barriers to populating the Institutional Repository

  – URI's Open Access Policy (Harvard-style)

  – URI Open Access Theses & Dissertations

We will share our experiences over the past year with promoting Open Access at URI.

What these two projects have in common is they go a step farther than encouraging people to deposit, voluntary—by shifting the default to OA , overcomes barriers

We will give some background about how we got to here with IR & open access; what the OA mandate does; how we got the policy passed; how we put an ETD procedure in place; and what's next in terms of implementing the policy

BACKGROUND

DigitalCommons@URI

- Ad hoc growth, 2005-March 2012:

    – ProQuest Dissertations feed

    – Senior Honors Projects

    – Special Collections digitized materials

    – Library reports & Library faculty scholarly articles

    – One scholarly journal

    – Very few published scholarly articles

URI implemented Digital Commons institutional repository in 2005, along with other HELIN libraries
No dedicated IR manager; developed on an ad hoc basis

Faculty Publications Project

- Since summer 2012: 225 articles, 26 new departmental series

- Barriers:
  - Getting faculty permission
  - Stringent journal policies
  - Access to the articles
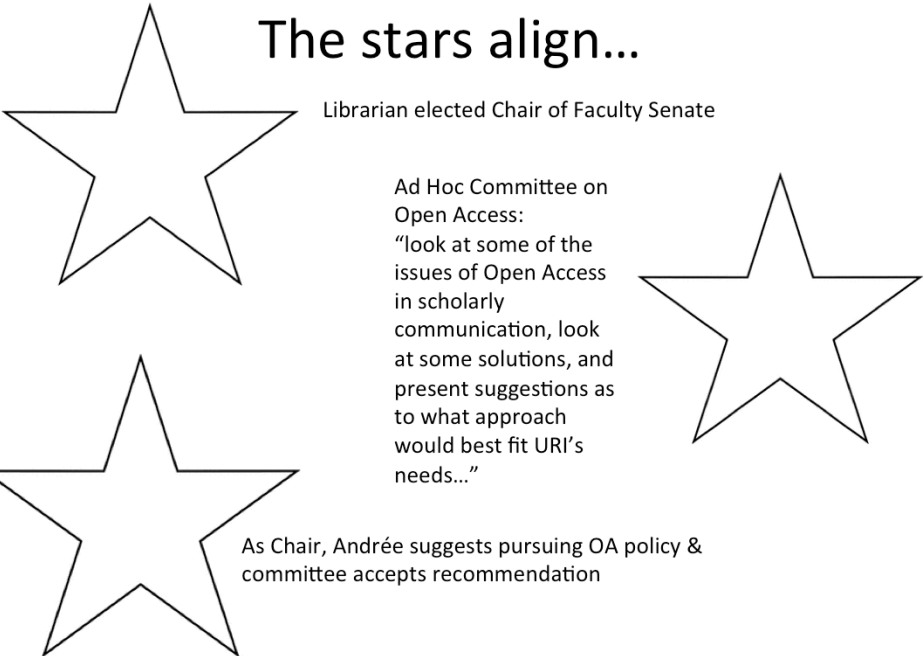 - Tracking all of this work

Past Open Access Efforts

- January 2008: URI's Faculty Senate passed a resolution opposing inflationary journal pricing and favoring faculty deposit in DigitalCommons@URI

- Spring 2012: Andrée approached Provost about a fund for article processing charges but never got off the ground

But we needed to take it a step farther

Ad Hoc Committee formed September 2012

Committee accepted the recommendation in November 27, 2013 was when they submitted the report—we met three times in October and twice in November

WHY AN OPEN ACCESS POLICY?

Green vs. Gold Open Access

Green Open Access: Repositories

- Researchers publish in the journal of their choice and then deposit their final, peer-reviewed manuscript in a disciplinary or institutional repository
- OpenDOAR (Directory of Open Access Repositories)

Gold Open Access: Journals

- Journals make their published contents freely available to readers
- Multiple business models (profit and non-profit)
- DOAJ (Directory of Open Access Journals)

When discussing an open access policy, it is important to be clear about the distinction between Green OA and Gold OA.

As a reminder [[[use contents of slide to summarize each]]]

The Green and Gold roads are complementary; both are important to the transformation of scholarly communication.
And both roads rely on journals to perform the important work of peer review.

<pause>

Permissions based Open Access Policies such as the one we passed at URI rely on the Green Road…

In no way does this type of policy require faculty to publish in Gold Open Access journals.

Now, there's nothing wrong with publishing in Gold OA journals, but it would not be good policy to require this, since there aren't enough Gold OA options at this time.

Thus, it's important to be clear about the Green-Gold distinction when discussing OA policies to avoid misunderstanding and gain support.

Green OA Strategy@URI

Deposit into DigitalCommons@URI a version of the scholarly articles written by URI faculty in order to make them available open access

Again, with the URI Open Access Policy, we're talking about "Green OA" in which faculty publish in whatever journal they want (the best journal that they can get their paper accepted in)

And then they archive a version of their article in the DigitalCommons@URI repository.

The version targeted by the policy is the author's final manuscript, post peer-review.

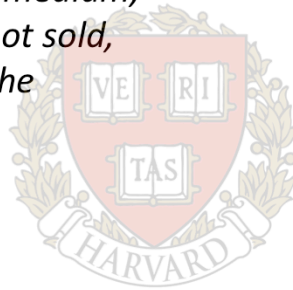As Julia explained, we've already been uploading author manuscripts to DigitalCommons, so why is a policy needed?

The policy is needed primarily because of copyright.

Once an author signs their copyright away to a journal publisher, they lose the right to re-use their article, including the right to post a version in the IR.

We are left to rely on publisher policies which are often restrictive and are subject to change.

> *"...Each Faculty member grants to the University of Rhode Island a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold, and to authorize others to do the same..."*

URI's Open Access Policy, passed by the Faculty Senate on March 21 (2013), is a solution to the copyright problem.

This type of policy was pioneered by the Harvard's College of Arts & Sciences in 2008.

Since then, over 40 similar policies have been passed by faculty at other institutions (http://cyber.law.harvard.edu/hoap/Additional_resources)

In fact, I'm proud to say that URI was only the 8th public institution in the United States to pass a university-wide policy of this type.

(Others:
- University of Kansas
- University of Hawaii-Manoa
- Utah State University
- University of California – San Francisco
- University of Massachusetts Medical School
- Rutgers University
- Georgia Tech)

The heart of the policy reads: [[read text]]

Plain English

- URI faculty authors retain full copyright in their articles.
- Authors give URI permission to make available a version of their journal articles in DigitalCommons@URI.
- URI can reproduce, display, and distribute the articles as long as they were not sold, and can authorize others to do the same.
- **Because the university can grant these rights back to the author, in effect, the policy allows authors to retain their rights.**

So what does this mean?

Under the policy, authors retain full copyright in their articles… however, they have granted URI permission to make certain uses of their articles.

Because this permission is "non-exclusive," authors are still free to transfer their copyrights to journal publishers.

But, even if they do, URI retains the right to distribute the articles in DigitalCommons (and to exercise other rights in copyright).

This strategy is legally sound: URI's permission to use the articles survives the transfer of copyright to a publisher because it was granted before that transfer.

As a result, URI is now able to make all articles written by URI faculty freely available to the world, open access, through DigitalCommons@URI, without having to rely on publisher permission.

No-Questions-Asked Waiver

"…The Faculty Senate or Faculty Senate's designate will, on behalf of the University, waive application of the license for a particular article or delay access for a specified period of time upon express direction by a Faculty member…"

It's worth noting that a key component of the policy is a no-questions-asked waiver that allows any faculty member to opt out of the open access requirement for a particular article for any reason at all.

This preserves the academic freedom to publish in any journal, even in a journal that will not cooperate with the policy.

The waiver also enhances the palatability of the policy for faculty, making it more likely to pass.

<pause>

So, with the passage of the URI Open Access Policy, we not only have overcome the copyright hurdle, but the fact that an institutional policy exists sets the expectation that faculty will comply.

The policy essentially changes the default for URI faculty articles to Open Access.

PASSING THE OA POLICY

grap

OA Road Show

- Julia & Andrée take their show on the road, promoting both Open Access and DigitalCommons@URI in general

- Over 6 months, presented to 21 departments and colleges

While the Ad Hoc Committee was working on language for the policy, Andree & Julia started a campaign of outreach
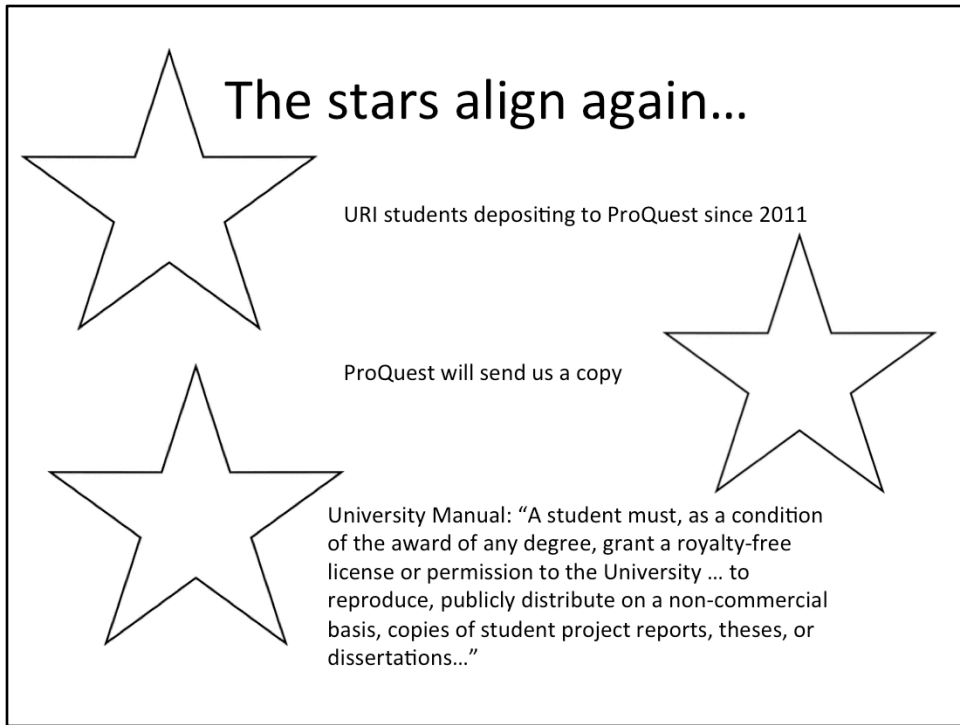
The response

- Generally Positive

- FAQ: Will this policy hurt journals? Could the policy prevent my work from being accepted? How could my articles be used?

- Faculty Senate unanimously passed policy on March 21, 2013

A lot of faculty were already familiar with OA and the policy; interested; receptive;

DEFINE A DERIVATIVE WORKS: translations, anthologies;

Lessons Learned: Talk about this here– Faculty are on board; most concerns come from misunderstandings; a lot of work was up front becoming expert in the policy; also, we couldn't have done it without Harvard

**OPEN ACCESS
THESES & DISSERTATIONS**

The stars align again…

URI students depositing to ProQuest since 2011

ProQuest will send us a copy

University Manual: "A student must, as a condition of the award of any degree, grant a royalty-free license or permission to the University … to reproduce, publicly distribute on a non-commercial basis, copies of student project reports, theses, or dissertations…"

Gray area

We thought it was important for the University to take control

And also that this would benefit authors

…+ implementing an ETD procedure

- Julia worked with Grad School deans & ETD coordinator to implement new procedure
  - ProQuest sends a copy to the Library; student staff upload the copy to DigitalCommons@URI
  - Author can embargo up to 2 years
  - No separate written policy; based on the University Manual language
- Getting word out to students

Can embargo if there are concerns about a patent OR material that must not be published yet

WHAT'S NEXT?

Implementing the policies

- New to-do list for Open Access Policy
- New workflows and roles for Tech Services staff & student workers
- ETDs: Plot twist! New IP policy removed language about theses & dissertations
- Outreach, outreach, outreach

Customize DigitalCommons@URI; making forms available to authors; further outreach; harvesting from other databases; getting our hands on files and posting them; tracking our work

(Go into some specifics about implementation? Mention a challenge: lack of IT support—can be done "low tech" but not ideal; also mention customizing the submission form with Digital Commons)

The Outreach part: emphasize that you need to keep the policy front & center in people's minds until it becomes a habit; regarding ETDs, there needs to be more outreach to students to alert them to the new policy; there are some challenges with working with the graduate school

OA Benefits Everyone

"OA accelerates not only research but the translation of research in to new medicines, useful technologies, solved problems, and informed decisions that benefit everyone.."

— Peter Suber, "Open Access Overview,"
http://legacy.earlham.edu/~peters/fos/overview.htm

Ultimately, it's all worth it because Open Access benefits everyone. I've already emphasized that from a practical standpoint, it makes our job as librarians—promoting and publishing original university scholarship—that much easier, by retaining rights from the get-go.

Open access makes research more widely available, more discoverable, more retrievable, and therefore more useful.

Many funders require it; the Obama administration requires it of federal agencies; and Libraries have an important role to play in pushing universities to shift the default to Open Access.