

Canada's new Open Access policy: Integrating libraries into open scholarship



J. Burpee, R. Coughlan, D. Johnston, P. Moore & E. Yates -- OLA Superconference 2016



Canada's new Open Access policy:

Integrating libraries
into open-scholarship



- OA & the Policy: 101
- Stakeholders & focused issues
- Academic Freedom & OA Policies
- Advocacy: approaches & challenges
- Practical steps, partnerships & strategies for the next level
- Wrap up & Discussion

The policy in 4 points

1. The Agencies (CIHR, SSHRC, NSERC) now have a harmonized ***Open Access Policy on Publications***
2. Funded researchers must make their **journal articles OA within 12 months** of publication
3. Funded researchers **must** publish in OA journals or archive their published articles in repositories.
4. Funded researchers **must acknowledge Agency contributions** quoting the funding reference number.



Rationales for open scholarship

- Improves efficiency of science
- Increases transparency and quality of research
- Addresses global challenges more effectively
- Promotes citizen engagement in science and research

OECD (2013) *Background paper for the TIP workshop on Open Science and Open Data*

The public has the right to read what they funded and the government wants to be credited and see value for the research that they fund.



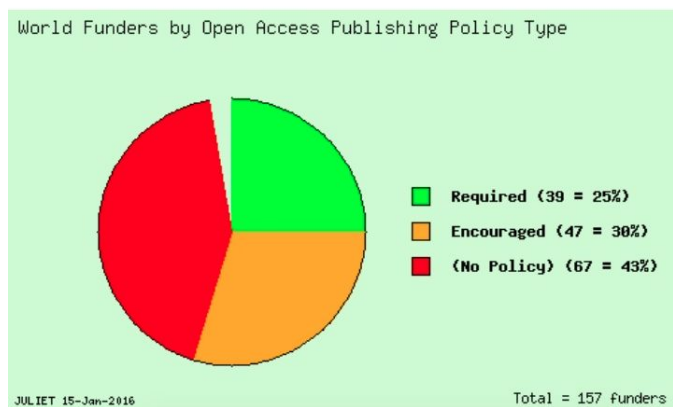
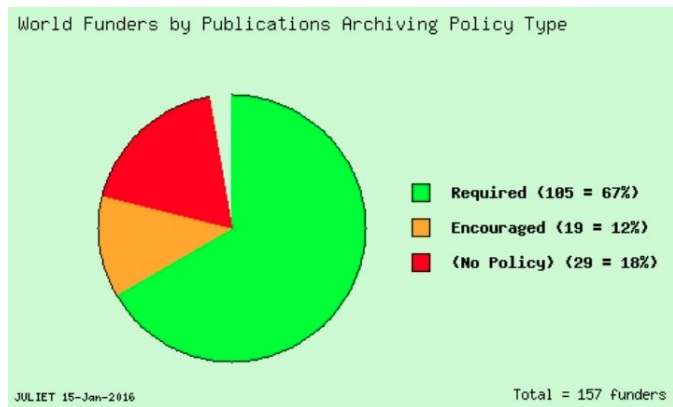
Joining
other
Canadian
funders

Sherpa Juliet: Research funders' open access policies

Click on the relevant column heading to re-sort by Country

Funding Organisation (<i>linked to their JULIET summary</i>)	Publications Policy			Data Archiving Policy	Country
	Open Access Publishing	Open Access Archiving			
Alliance canadienne pour la recherche sur le cancer du sein (ACRCS) see: Canadian Breast Cancer Research Alliance (CBCRA)					Canada
Avon Foundation for Women		✓ ✓	☐		Canada
Canadian Breast Cancer Research Alliance (CBCRA)	☐	✓ ✓	☐		Canada
Canadian Cancer Society (CCS)	✓	✓	☐		Canada
Canadian Foundation for Healthcare Improvement (CFHI)	✓	✓ ✓	☐		Canada
Canadian Institutes of Health Research (CIHR)	✓	✓ ✓	☐	✓ ☐	Canada
Fonds de la recherche en santé du Québec (FRSQ)		✓	☐		Canada
Genome Canada	☐	✓ ✓	☐	✓ ☐	Canada
Heart and Stroke Foundation of Canada (HSF)	✓	✓	☐	✓ ☐	Canada
Instituts de recherche en santé du Canada (IRSC) see: Canadian Institutes of Health Research (CIHR)					Canada
International Development Research Centre (IDRC)	✓	✓	☐		Canada
Michael Smith Foundation for Health Research (MSFHR)	☐	✓ ✓	☐	✓ ☐	Canada
National Research Council Canada (NRC)		✓ ✓	☐		Canada
Natural Sciences and Engineering Research Council of Canada (NSERC)	✓	✓ ✓	☐		Canada
Ontario Institute for Cancer Research (OICR)	☐	✓	☐	✓ ☐	Canada
Prostate Cancer Canada	☐	☐	☐		Canada
Social Sciences and Humanities Research Council (SSHRC)	✓	✓ ✓	☐		Canada
Société canadienne du cancer (SCC) see: Canadian Cancer Society (CCS)					Canada

World Funders by Policy Type



Know who you are targeting & why distinguishing their issues is important

Administrators/Offices: Maximizing institution's visibility, prestige, etc.

Hiring and Promotion Committees: Transparency, Impact Metrics

Senior Faculty: Quality, Rankings, Readership, Altmetrics

Early Career Researchers: Citations, Costs, Quality

Students: Access after graduation, Costs, Ease of googling

Community (laypeople, professionals) : Taxes paid for it, Personal research, Professional Research, Opportunities for innovation



Make it resonate with something cared about

Canadian dollar will drop to 59 cents US in 2016, Macquarie forecasts

Investment bank says 2 rate cuts from central bank this year are also possible

By Pete Evans, CBC News | Posted: Jan 13, 2016 10:10 AM ET | Last Updated: Jan 13, 2016 3:09 PM ET

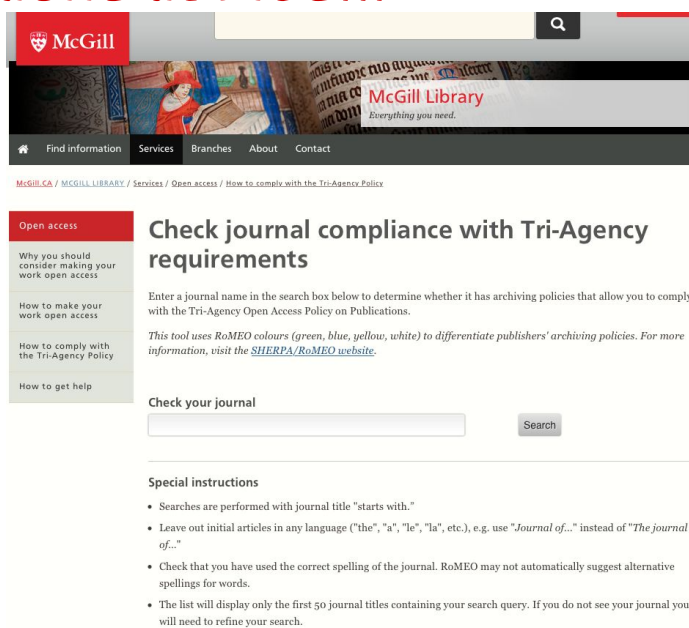


A forecaster at an investment bank who correctly called a 69-cent US loonie now expects the Canadian dollar to sink as low as 59 cents this year. (Patrick Doyle/Bloomberg News)



One thing we have done at McGill

Created a tool using the API on Sherpa Romeo



The screenshot shows the McGill Library website. At the top, there is a navigation bar with the McGill logo and a search icon. Below the navigation bar is a banner image with the text "McGill Library Everything you need." and a search bar. The main content area is titled "Check journal compliance with Tri-Agency requirements". It includes a sidebar with links for "Open access", "Why you should consider making your work open access", "How to make your work open access", "How to comply with the Tri-Agency Policy", and "How to get help". The main content area has a search box and a "Search" button. Below the search box, there are "Special instructions" for using the tool.

McGill CA / MCGILL LIBRARY / Services / Open access / How to comply with the Tri-Agency Policy

Open access

Why you should consider making your work open access

How to make your work open access

How to comply with the Tri-Agency Policy

How to get help

Check journal compliance with Tri-Agency requirements

Enter a journal name in the search box below to determine whether it has archiving policies that allow you to comply with the Tri-Agency Open Access Policy on Publications.

This tool uses RoMEO colours (green, blue, yellow, white) to differentiate publishers' archiving policies. For more information, visit the [SHERPA/RoMEO website](#).

Check your journal

Special instructions

- Searches are performed with journal title "starts with."
- Leave out initial articles in any language ("the", "a", "le", "la", etc.), e.g. use "Journal of..." instead of "The journal of..."
- Check that you have used the correct spelling of the journal. RoMEO may not automatically suggest alternative spellings for words.
- The list will display only the first 50 journal titles containing your search query. If you do not see your journal you will need to refine your search.



OA Policies on Canadian campuses: Landscape

Individual institutions can implement OA policies for their researchers. While such policies are not uncommon in the US, there are relatively few in Canada.



15 Universities in Canada have some kind of policy listed in ROARMAP.

Many do not apply to faculty research

Most do not express this as a requirement

Encourage

Require

Requirements are unsurprisingly much more successful (15% deposit rate vs. 60%)*



HARVARD LIBRARY
Office for Scholarly Communication

Harvard style policies typically involve an automatic grant of rights to the institution for faculty articles.



*Do Open Access policies remove barriers for consumers only to
create them for authors?*

Institutional Level OA Policies and Academic Freedom

OA Policies on Canadian campuses: Motivations



University of Windsor

The University of Windsor Open Access Policy requires local collection of Tri-Agency OA content & Strongly Encourages all others to submit.

Ensure systematic collection and responsibility for Windsor OA content

Providing a stable infrastructure for OA content.

Simplify the process for faculty provide 'perks' stemming from our repository

Work with research services to ensure compliance

Maintain standards for metadata, preservation, access, and usage data



OA Policies on Canadian campuses: Academic Freedom

Investigation launched into U of Calgary
academic freedom controversy

Academic freedom is a hot topic in Canadian universities.

While individuals may interpret it more narrowly or broadly, at its core it is:

*“(a) the freedom to pursue truth wherever that may lead (b) tenure so that the truth-seeker is not subject to loss of job when the research is controversial, (c) the ability of the scholar to be critical of the university, (d) the ability of the scholar to participate in public life, and (e) co-governance within the university.”**



OA Policies on Canadian campuses: Academic Freedom

Faculty are concerned about encroaching managerial control over academic life on university campuses.

*“The authority of the professors to determine the direction of the university, to develop the curriculum, and ultimately to maintain full control in the classroom and in the selection and implementation of research topics is compromised by this trend.”**

Open Access policies are thus being introduced into a difficult political climate

Academic freedom is ultimately an issue of the language of collective agreements.



OA Policies on Canadian campuses: Solutions

The number one issue for most researchers is whether a policy will threaten their ability to publish in their preferred journal. In the majority of cases this is not an issue.

There is an important difference between the publication of a work (academic freedom) and OA archiving of a previously published work (~academic freedom).

From an institutional level, Windsor's policy does not restrict researchers from sharing their work in any other OA venue they wish. They must _at minimum_ deposit to our IR.



OA Policies on Canadian campuses: Challenges



The Windsor policy is a compromise, but a necessary one.

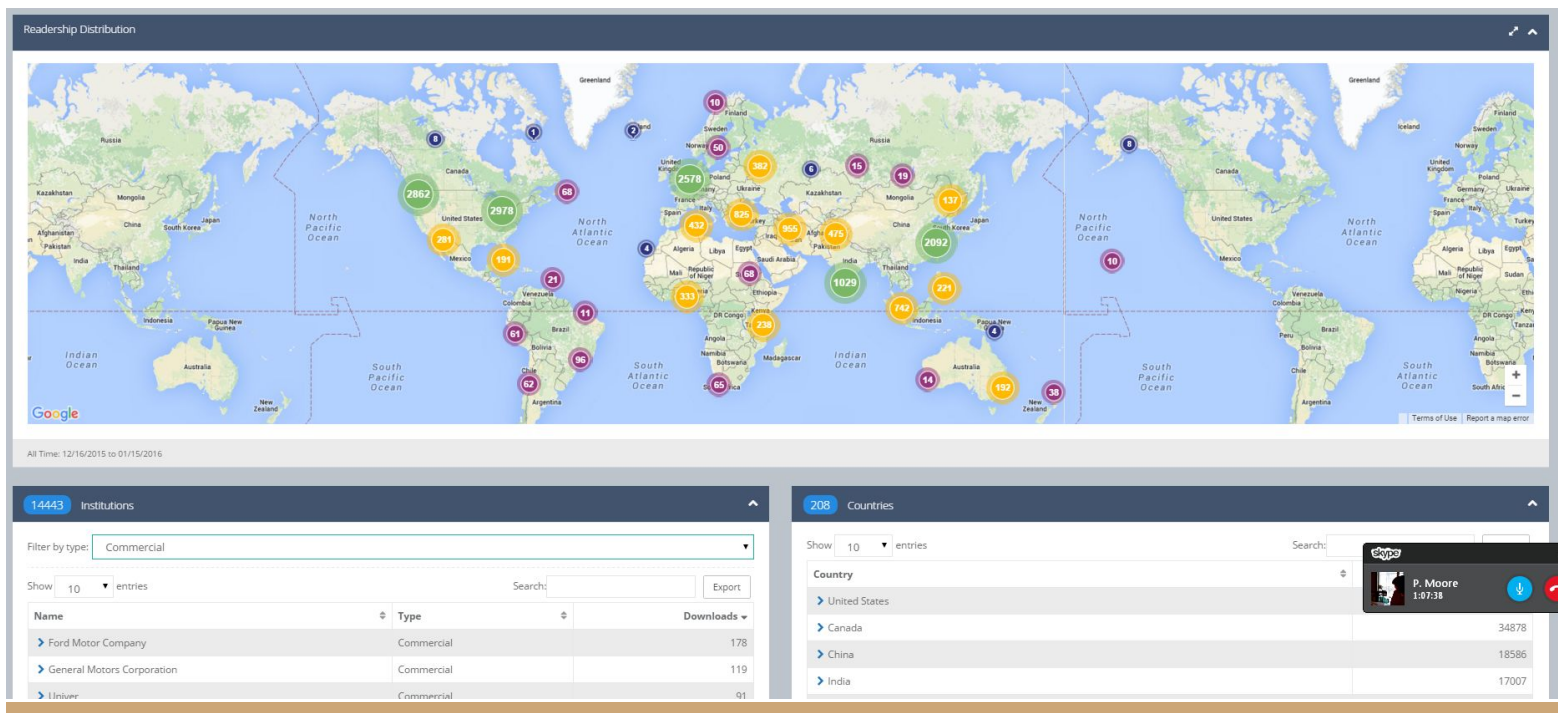
We did make some significant gains in terms of ensuring local IR collection

We discovered more allies

We don't believe the door is closed for future changes.



Digital Commons Author Dashboard



Advocacy: approaches and challenges

COST

PEER REVIEW

PRESTIGE



Image: [Three Sisters Rocky Mountains](#), [Bhasker Garudadri | garudadri.org](#)

Costs: (mis)perceptions

- OA = high APCs
- “Vanity” publishing
- Grant funds? No way!



Created by gira Park
from Noun Project



Costs: advocacy



- No APCs in most OA journals
- Publishing is not free; APCs are just one business model
- Financial support from libraries/institutions
- Build APCs into grant budgets



Peer review: (mis)perceptions



- OA = no peer review
- OA = low quality



Peer review: advocacy



- Workflow differs from dissemination
- All journals have problems, not just OA
- Take responsibility!



Prestige: (mis)perceptions



- no Impact Factor
- not valued in P&T



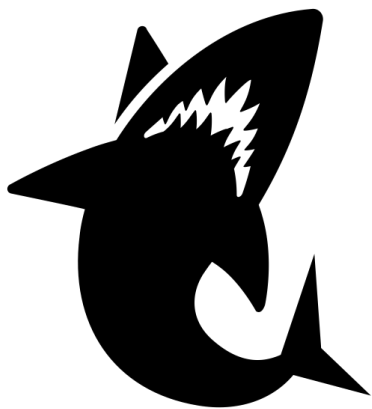
Prestige: advocacy



- Faculty control P&T > reform it!
- IF is broken; OA has *real* impact:
 - higher citations
 - broader social and geographic impact



Predatory publishing



Created by Richard Cordero
from Noun Project

- faculty's biggest fear!
- @ 8,000 predatory journals; mostly based in India and elsewhere in Asia
- est. size of market \$74M USD
- are faculty duped ... or complicit?

Source: ['Predatory' open access: a longitudinal study of article volumes and market characteristics](#)



Stay out of the pulpit ...

- converse
- question
- discuss



Image: DC Comics. <http://www.theguardian.com/tv-and-radio/tvandradioblog/2014/feb/07/preacher-ultimate-comic-book-tv-adaptation>



Practical Steps = How is the library going to help me?

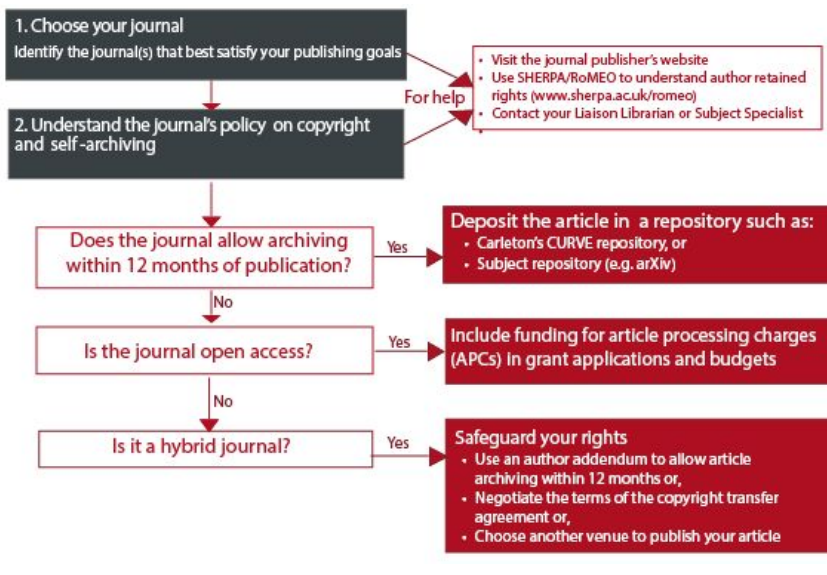


Faculty wear many hats

- As authors
- As supervisors
- As editors
- As publishers



Open Access options



Series of decisions, based on individual contexts and goals

(Carleton University Library, adapted from SFU)



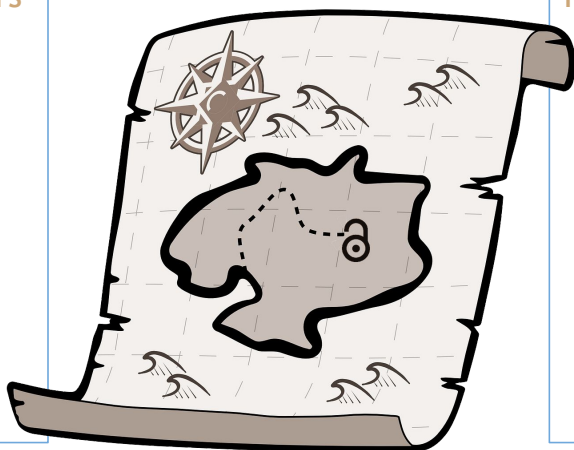
Discovering OA venues

Journals/ Publishers

- DOAJ
- Sherpa Romeo
- Beall's List

Funders

- Sherpa/Juliet
- ROARMAP
- PLoS List

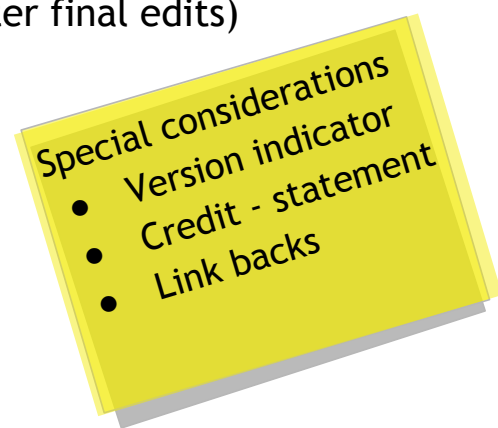


Repositories

- CORE (Connecting Repositories - UK)
- OpenDOAR
- Confederation of Open Access Repositories (COAR)
- Registry of Open Access Repositories

Understanding compliance(s) - the version issue

- Tri-Council requirements
 - final version (post-peer review, after final edits)
- License/author agreement
 - versions
 - pre-prints
 - post-prints
 - formatted final
 - embargoes



License and negotiations

- Articulating the central goal
 - this journal
 - this article
 - immediate
 - cost
- Choosing the battle
- Utilizing CARL/SPARC addendum
- Negotiation with publishers



[Picasso. "Donquixote". via Wikipedia](#)



Impact, value, and metrics - considerations

- Traditional measures
 - impact factor (journal level)
 - h-index
 - eigenfactor
 - citation rates (journal/article)
- Altmetrics
- Authoritative lists

What are the disciplinary norms?

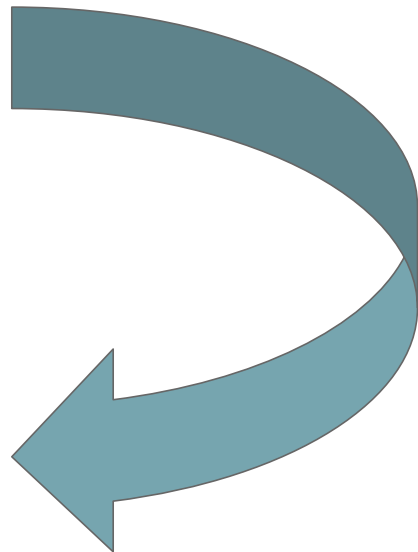
What are the departmental or institutional norms?

Do you have and use author IDs?



Help for Journal Editors

- Utilizing similar tools
- Process review and policy development
- Negotiation with publishers
- Managing backfiles - retrospectively open
- Making it available
 - indexing
 - standard numbers
- Making it count



Building partnerships to get to the next level

Free

Archambault, É., et al. (2014). Proportion of Open Access Papers Published in Peer-Reviewed Journals at the European and World Levels—1996–2013. Produced by Science-Metrix for the European Commission.

**Proportion of Open Access Papers
Published in Peer-Reviewed Journals
at the European and World Levels—1996–2013**

RTD-B6-PP-2011-2: Study to develop a set of indicators to measure open access

Prepared by



Produced and written by

Éric Archambault, Didier Amyot, Philippe Deschamps,



Free availability of OA research: the state of play...

Is there a citation advantage? Yes.

- Average citation advantage of OA papers is 40.3%

What is the proportion of OA papers?

- April 2014 - 50% of scientific papers published in 2007, 2008, 2009, 2010, 2011, and 2012 can be downloaded for free

Gold vs. Green OA?

- **Gold OA:** papers (indexed in Scopus) grew exponentially up until 2012 - growth rate - 24% per year between 1996 and 2012
- **Green OA:** regular increase of 8.4% per year, 1996 to 2009, after which the increase slows down and drops in 2013 (effect of embargos surpasses the growth in available papers)
- *Those deposited in institutional repositories, do not contribute a large share of the overall OA stock of papers.*



Enabling FREE Green OA Through the Grant Life-Cycle - Challenges

1. How do we **know about new publications** so that support & dialogue to minimise burden of effort for free deposit can happen?
2. How do we encourage **researchers to save/store** the correct version for 'free' compliance (in many cases) i.e. the Accepted Author Manuscript?

Integrating the CV & Publications Repository at Queen's

FACULTY180

Quicklinks - [FAQ](#) [Help](#) [Log Off](#)



DASHBOARD

PROFILE

ACTIVITIES

- o Professional Practice
- o Professional Development
- o Scholarly Contributions and Creative Productions
- o Administrative Service
- o Professional Service and Memberships
- o Honours / Awards
- o Funding
- o External Activities
- o Comments for Richer Context
- o Mentoring
- o Other Institutional Service
- o Consulting



ACTIVITIES | QUEENS CV

Show All | Hide All

- ▶ Professional Practice [Help](#)
- ▶ Professional Development [Help](#)
- ▶ Scholarly Contributions and Creative Productions [Help](#)
- ▶ Administrative Service [Help](#)
- ▶ Professional Service and Memberships [Help](#)
- ▶ Honours / Awards [Help](#)
- ▶ Funding [Help](#)
- ▶ External Activities [Help](#)
- ▶ Comments for Richer Context [Help](#)

Process Integration - Rationale

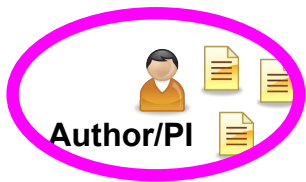
Researchers will already input publications citation info into Vitae Repository for Annual Reports, CCCV etc.

- This information is also needed for the Institutional repository.

The best bit...(and perhaps the most difficult..)

- If researchers *got into the habit / were encouraged/ or required* to update their CV in the Vitae Repository each time they have had an article accepted by publisher for publication...

Sustainable Policy Compliance



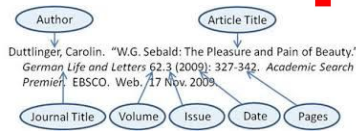
Publishers



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DEPARTMENT OF Biology

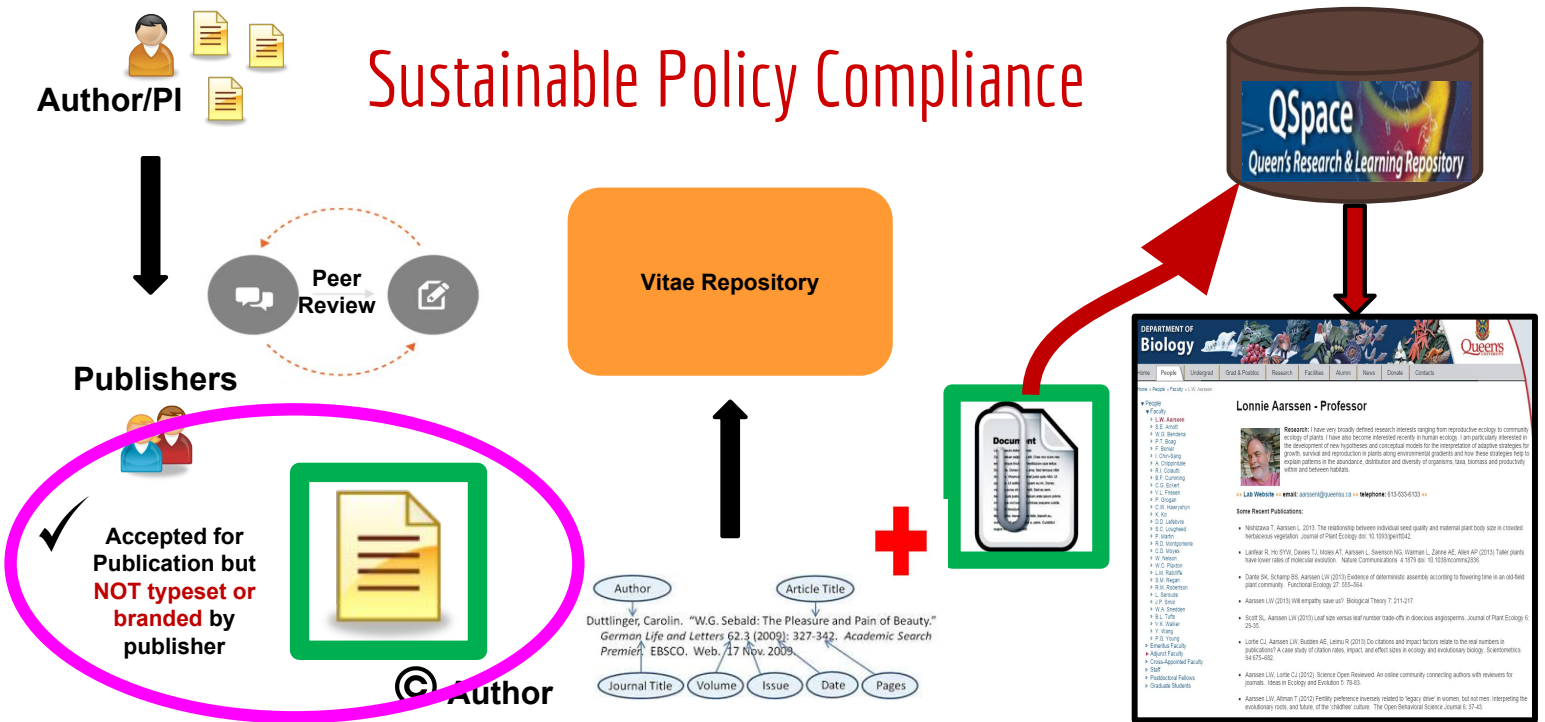
Lonnie Aarssen - Professor

Research: I have very broadly defined research interests ranging from reproductive-ecology to community ecology of plants. I have also become interested recently in human ecology. I am particularly interested in the development of new hypotheses and conceptual models for the interpretation of adaptive strategies for growth, survival and reproduction in plants along environmental gradients and how these strategies help to explain patterns in the distribution, abundance and diversity of organisms, taxa, biomes and productivity within and between habitats.

Some Recent Publications:

- Wentham, T., Aarssen, L. 2013. The relationship between individual seed quality and maternal plant body size in covered herbaceous vegetation. *Journal of Plant Ecology* doi: 10.1093/jpe/ert042.
- Larlier, R., He, S.Y.H., Davies, T.J., Meeles, A.T., Aarssen, L., Swenson, N.S., Warren, L., Zanne, A.E., Allen, A.P. (2013) Taller plants shade lower levels of microbial respiration. *Nature Communications*, 4: 1879 doi: 10.1038/ncomms2656.
- Carroll, S.K., Schamp, S.S., Aarssen, L. (2011) Evidence of deterministic assembly according to flowering time in an old-field plant community. *Functional Ecology* 27: 555-564.
- Aarssen, L. (2011) Will empty save us? *Biological Theory* 7: 214-217.
- Scott, S.L., Aarssen, L. (2011) Leaf size versus leaf number trade-offs in dioecious angiosperms. *Journal of Plant Ecology* 6: 29-35.
- Lortie, C.J., Aarssen, L. (2011) The evolution of seed mass and shape: a case study in ecology and evolutionary biology. *Evolutionary Ecology* 25: 475-482.
- Aarssen, L., Lortie, C.J. (2012) Biomechanical Open Access: An online community connecting authors with reviewers for journals. *Open Access Ecology and Evolution* 2: 76-80.
- Aarssen, L., Altmant, T. (2012) Fertility preference inversely related to legacy drive in women, but not men: Interpreting the evolutionary roots and future of the 'mother culture'. *The Open Behavioral Science Journal* 6: 17-43.

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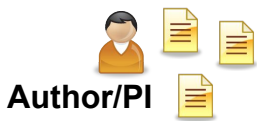
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- Carroll SK, Schamp SS, Aarssen L (2011) Evidence of demographic assembly according to flowering time in an old-field plant community. *Functional Ecology* 27: 555-564.
- Aarssen L (2011) Will empty save us? *Biological Theory* 7: 211-217.
- Scott SL, Aarssen L (2011) Leaf size versus leaf number trade-offs in dioecious angiosperms. *Journal of Plant Ecology* 6: 29-35.
- Lortie CJ, Aarssen L (2011) Growth and survival of plants in relation to the soil moisture in 1990-2009: A case study of canopy gaps, impact, and effect sizes in ecology and evolutionary biology. *Evolutionary Ecology* 25: 1475-1482.
- Aarssen L, Lortie CJ (2012) Biome Open Review: An online community connecting authors with reviewers for journals. *Open in Ecology and Evolution* 3: 76-80.
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Author/PI



Publishers



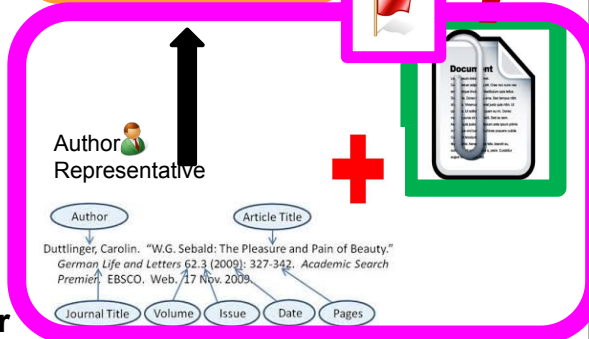
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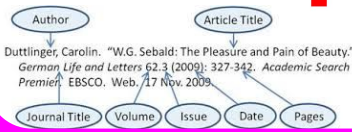
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Vitae Repository



Author Representative



QSpace
Queen's Research & Learning Repository



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- Lab Website: aaarssen@queensu.ca | [Telephone: 416-974-9711](tel:416-974-9711)
- Some Recent Publications:
 - Wardlaw T, Aarssen L. 2013. The relationship between individual seed quality and maternal plant body size in covered herbaceous vegetation. *Journal of Plant Ecology* doi: 10.1093/jpe/ert042.
 - Larlier R, He S, Yim D, Davies T, Mores AT, Aarssen L, Swenson NS, Warren L, Zanne AE, Allen AP. (2013) Taller plants shade lower levels of photosynthetic radiation. *Nature Communications* 4: 1879 doi: 10.1038/ncomms2650.
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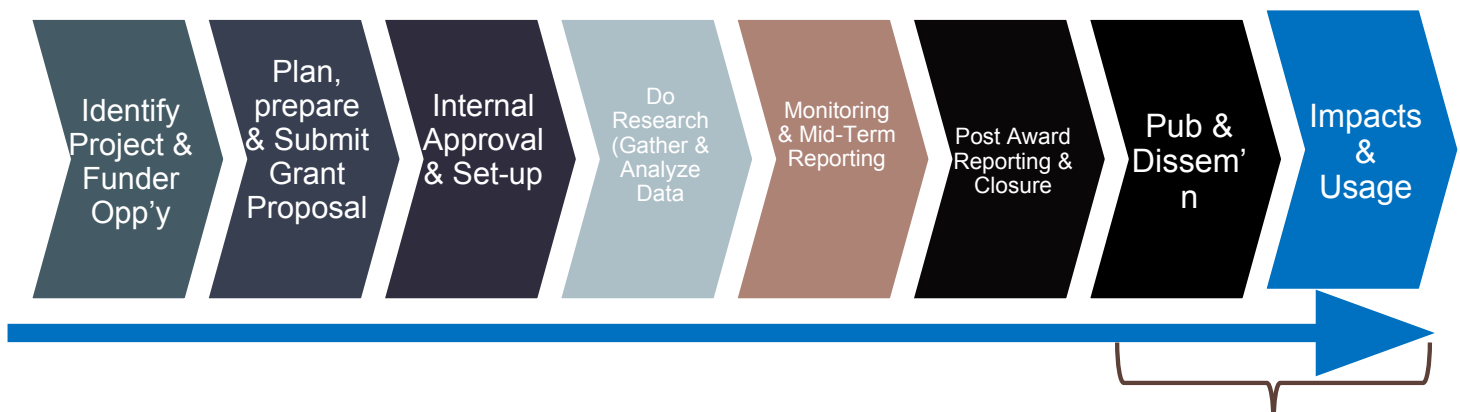


arXiv.org



Plus usage metrics & link to data

Incentivise



- Impact **on subsequent funding applications...**
- Reporting - work with departmental Research Coordinators / grant teams **to provide custom metrics / usage data (where appropriate)** for proposals, min & end of grant reports & final published open access articles
- **Encourage authors to link their publications to grants – proof of compliance.**

Pre-requisites for Success

- Partnerships - research office, ITS, graduate studies & others
 - Establish common goals and priorities
- Commitment - within the University Library & across campus
 - Resources, expertise
- Communication - clear, top-down and bottom-up
 - Consistent, open and tactical.



Conclusions



Compliance: Cause & Effect Relation

The message + the recipient:

- Consistent & clear information and support on: open access options, versions, venues, metrics, grant \$, licensing etc.
- Multi-various / tailored and responsive approaches: one size does not fit all.

Processes & practices:

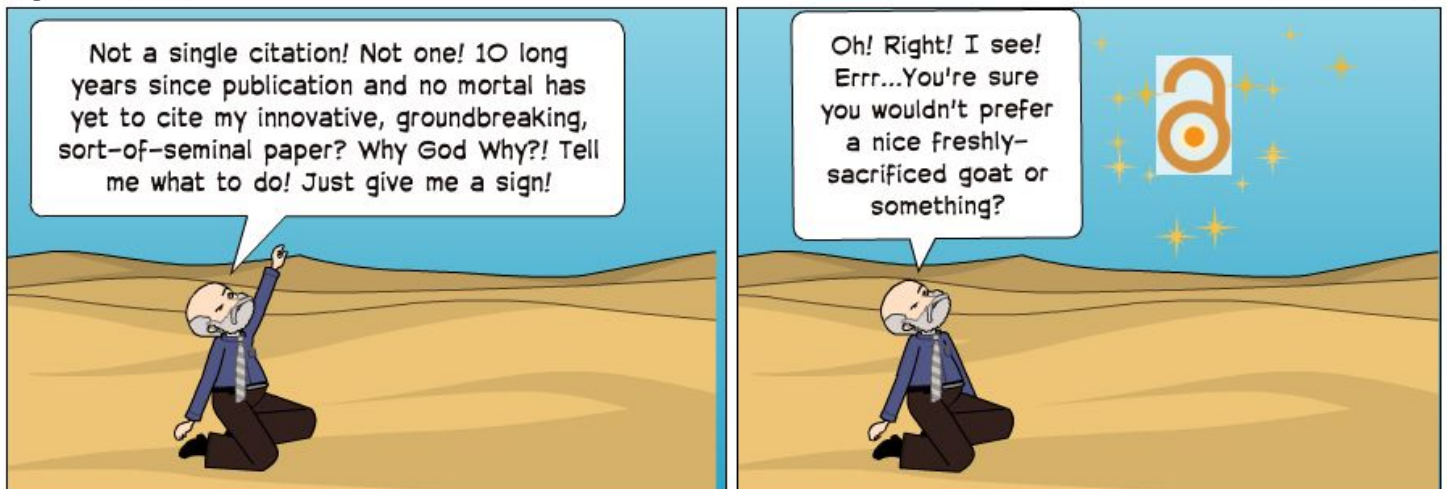
- Easy processes - Integrated systems, information exchange.

Benefits + incentives:

- Respect academic freedom and collective bargaining terms
- Incentives & motivations: both institutional (policy-driven) and personal (ability to determine appropriate publication venue), evidenced impact on research dissemination.

Open Access

by Alice Dilmaka



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Recommendations

- Need to work towards a **sustainable model for scholarly publishing**, that:
 - Is equitable & (less vulnerable to market forces eg “Big Deals” priced primarily in USD)
 - Is driven by researchers/creators, funding bodies, and all those involved in knowledge dissemination.
- **Requires:**
 - Collaboration between libraries (CRKN / CARL) publishers / funders - all stakeholders
 - Viable & attractive alternative publishing systems
 - Vision, partnerships and persistence...& resources.
- Is underpinned by consistent **information sharing & engagement with everyone** - perhaps most of all the **research community (at all stages of the research process and career)** in shaping the future scholarly publishing ecosystem.

Presentation team

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Patricia Moore, Systems Librarian - Digital Projects and Technologies, Carleton University
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Elizabeth Yates, Head Liaison Services (Acting)/Scholarly Communications Librarian, Brock University
(eyates@brocku.ca)





Thank You!

Questions?

