
Engaging Faculty to Advance Campus Open Access Policies: Strategies and Lessons Learned

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Agenda

- Why have an institutional open access policy?
 - Types of policies
 - Examples
 - Canadian open access policy landscape
- Open access policy case studies
 - Brock University
 - York University
- CARL open access policy approach
- Open access and academic freedom
- Takeaways
- Your turn!



Why have an institutional policy?

- Benefits of Policy for Researchers
 - Helps normalize OA practices
 - Policies may provide a legal framework that supports author rights
- Benefits of Policy for Institutions
 - Collects and preserves the institution's research output
 - Visibility of research output/profile
 - Use and re-use of institution's output (indicators, metrics)
- Evidence shows that effective policies can increase rates of deposit and accelerate adoption of OA

What kinds of policies are there?

Resolution-Based

Author Rights Retention

Liège-style

Resolution-based policies

- Researchers are encouraged to make their work openly accessible (via archiving in a repository or publishing in an open access journal)
- Commonly used terms:
 - “Make best possible effort”
 - “Strongly encouraged”
 - “Committed to”



Resolution-based policies - Examples

UBC's Open Access Position Statement

- “Faculty members **are encouraged to deposit an electronic copy** of their refereed and non-refereed research output and creative work in cIRcle in accordance with applicable copyright arrangements which may be in place for that work.”

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...”

Brock Library Open Access Resolution

- “Library Council members **support** the principle of open access and are **committed** to sharing our scholarship as widely as possible.”

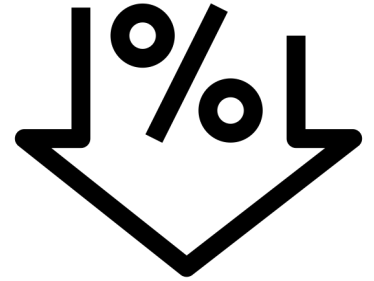
Resolution-based policies

Advantages

- From a faculty perspective, is not prescriptive
- May be more straightforward to implement

Disadvantages

- Low rates of self-archiving
- Little impact on publishing practices



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Author Rights Retention Policies

- Authors remain the sole owner of copyright in their work, and can still use it however they wish.
- Researchers collectively grant permission to the institution to make their work available to the public via the repository.
- This permission is non-exclusive, i.e. the university does not own copyright.
- University's right to deposit is waived upon author request (no questions asked), in order to meet publisher exclusivity requirements or other constraints.

Author Rights Retention Policies - 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.”

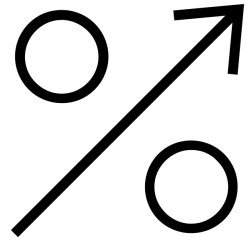
Model Open Access Policies

- Harvard: <https://osc.hul.harvard.edu/modelpolicy/>
- UK SCL: <http://ukscl.ac.uk/uk-scl-model-policy/>

Author Rights Retention Policies

Advantages

- Strengthens authors' rights by changing the copyright default from publisher to author
- Relatively simple model; “open by default”
- Does not impede publication efforts
- Allows authors to continue to publish wherever they wish
- Does not require authors to give up any intellectual property rights
- Helps increase the institutional impact of research
- May support higher deposit rates in the repository



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Disadvantages

- Publishers' copyright requirements may appear to be a barrier, but authors may request a waiver when necessary (some additional work)
- Possible workload implications for researchers in depositing articles

Liège-Style Policy

Liège style policy (mandatory deposit)

- Policy seeks no rights
- Mandatory deposit upon acceptance for publication; no waivers
- Restricted items are dark, but metadata is open
- Restricted items available full text to institutional members, and through “request a copy” button for external members
- Deposit is a precondition for research assessment (tenure, promotion, grants)

Liège-Style Policy

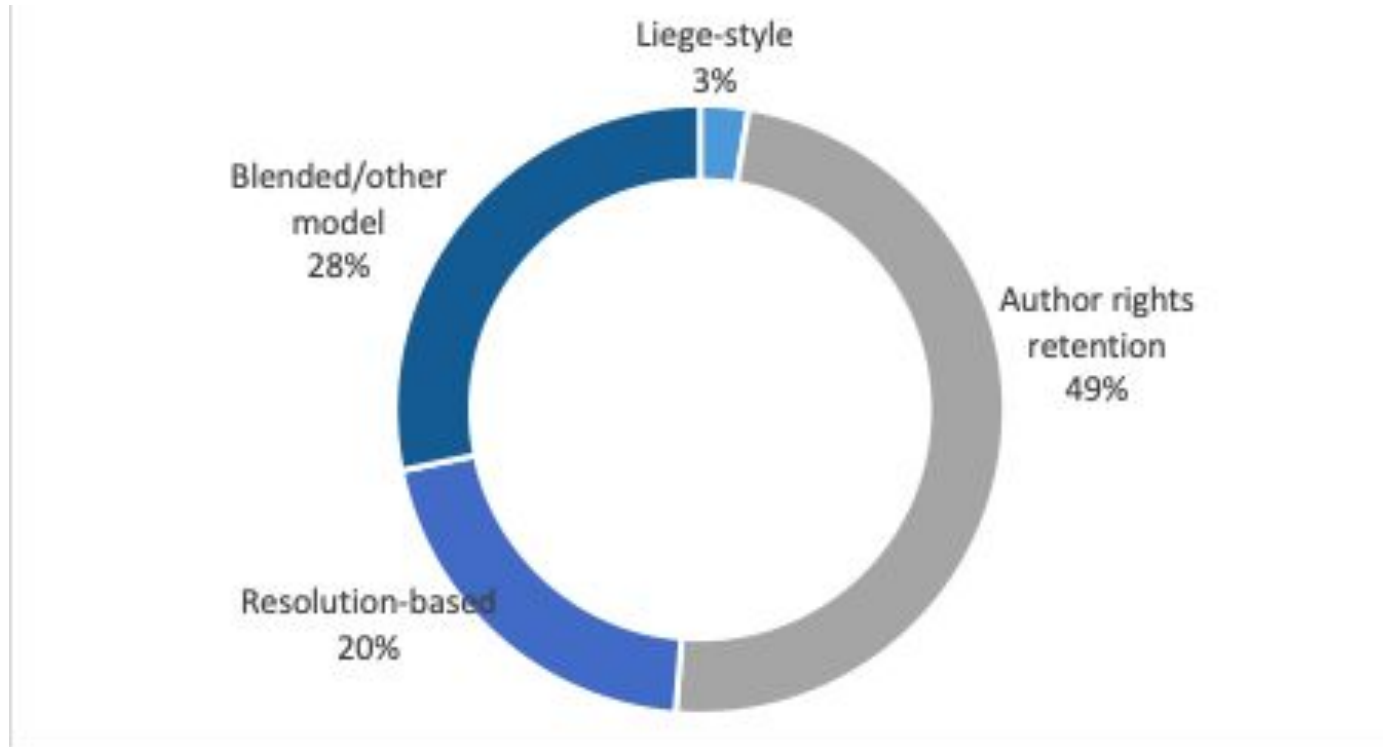
Advantages

- Most effective policy
 - 87% is deposited
 - 37% of total institutional research output is OA via deposit
 - 50% is restricted

Disadvantages

- Mandatory policy would be unprecedented in a North American context
- Difficult to attain in North American context

North American Policy Landscape



Fruin, Christine & Sutton, Shan (2016). Strategies for success: open access policies at North American Educational Institutions. *College & Research Libraries*, 77(4), 469-499.

Canadian Policy Landscape

9 Institutional level policies

- Resolution-based = 6
- Author Rights Retention = 1
- Blended/Other = 2

10 sub-institutional level policies

- Libraries/Librarians = 8
- Faculties/Schools = 2



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Brock University case studies

- Library Open Access Resolution
- Brock University Open Access Policy Working Group



Brock case study: Library open access “policy”

June 2017: Brock Library Council passed Library Open Access Policy

Library Council recommends that Brock Librarians strive to implement open access practices by:

- Depositing their scholarly outputs in the [Brock Digital Repository](#) or other appropriate subject/institutional repository
- Publishing in open access journals whenever feasible
- Openly disseminating any scholarly non-textual outputs
- Advocating for open publishing in their work as editors, reviewers and authors
- Assisting all Brock researchers, including their library colleagues, to make their research openly available

Brock Library open access resolution: BUFA position

- BUFA: 'Library OA resolution contravenes the [collective agreement](#)'
- Sticking points:
 - "Members' academic freedom includes choice of publication venues and dissemination practices" Article 11.04
 - "recommend" and "implement" read as prescriptive and infringing on academic freedom
 - List of open access options viewed as mandatory versus menu of options
 - Viewed as coming from "the University"

Brock Library open access resolution: outcomes

- [Library Open Access Resolution](#)
- Clarity over option menu
- Language further softened
- *“Library Council members support the principle of open access and are committed to sharing our scholarship as widely as possible. There are many strategies available to achieve open access, including: ...”*

Other Policy Developments at Brock University

- Ad Hoc Senate Committee on Scholarly Publishing (2015-17)
 - Recommended that: “Senate Research & Scholarship Policy Committee develop an open access policy and/or statement appropriate to Brock University”
- Research & Scholarship Policy Committee
 - Has taken up this work in spring of 2018 by establishing a Open Access Policy Working Group

Brock University Open Access Policy Working Group

Purpose:

- “To consult with Brock researchers on the development of an open access policy and/or statement of principles appropriate to Brock University and to advise the Senate Research and Scholarship Policy Committee on a draft policy.”
 - Membership: mix of faculty, librarians, legal counsel
 - Focus: rights retention and green OA
 - Beginning stakeholder consultations on policy options



The York Case Study

Framing perspective before launching

Find Your Lane!

Background Work

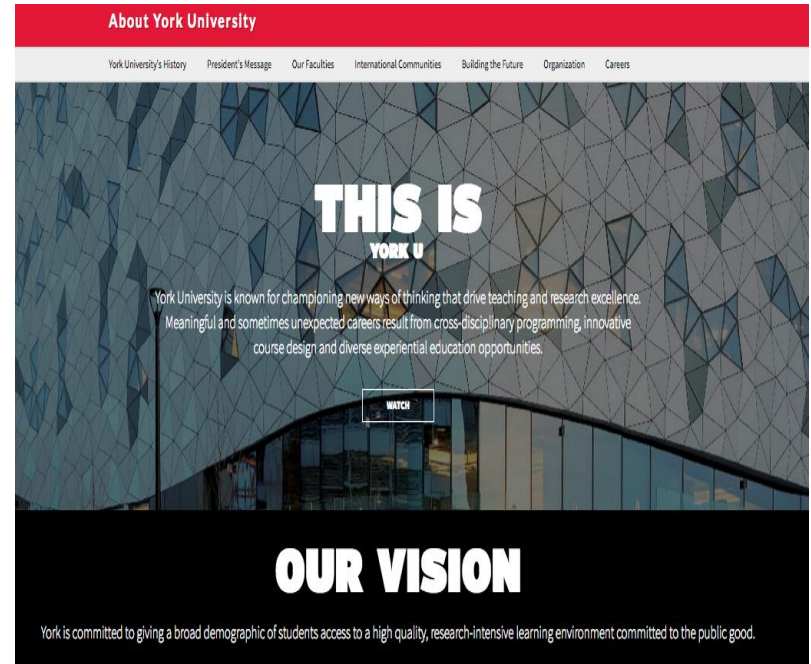
- **Campus Environmental Scan**
 - Attuned to campus environmental factors, conditions & politics.
 - Importance of meeting the culture where the culture is.
 - What is the institutional DNA - central motto.
 - Current attitudes & uptake of open access; where does OA have particular traction.
- **Internal Scan**
 - Library staff are also your stakeholders.
 - The “flavour” of their uptake.

Open Access Policies & Activity at York

Current York Policies & Other Evidence of OA Activity

- The York University Librarians and Archivists adopted one in October 2009
- Libraries publish 46 York Faculty OA journals
- Other faculties - notably Law and the Faculties of Science and Health - frequently publish using open access without a policy.
- Humanities, Arts & Social Science Disciplines largest
- Culture: strong social justice perspective, academic freedom, collegial governance model; **altruism arguments work at York!**

Motto/Pride Points/Spirit: *We are unique; we do things differently; interdisciplinarity; public good, social justice, community engagement*



The image shows a screenshot of the York University website. At the top, there is a red navigation bar with the text "About York University". Below this is a white navigation bar with links: "York University's History", "President's Message", "Our Faculties", "International Communities", "Building the Future", "Organization", and "Careers". The main content area features a large, abstract geometric pattern in shades of blue and grey. Overlaid on this pattern is the text "THIS IS YORK U" in large, white, bold letters. Below this, there is a paragraph of text: "York University is known for championing new ways of thinking that drive teaching and research excellence. Meaningful and sometimes unexpected careers result from cross-disciplinary programming, innovative course design and diverse experiential education opportunities." A small "WATCH" button is visible below the text. At the bottom of the page, there is a black section with the text "OUR VISION" in large, white, bold letters, followed by a smaller line of text: "York is committed to giving a broad demographic of students access to a high quality, research-intensive learning environment committed to the public good."

Advancing Open Access - laying the groundwork

- Alignment with major university influential documents & plans ie. academic plans, strategic plans, research plans, capital plans/mottos. **Use the same language.**
- Instrumental in inserting open access language in both York's University's Academic Plan and instrumental in inserting in Research Plan

University Academic Plan:

Expand open access to York research in order to enhance visibility, open disciplinary boundaries and facilitate sharing knowledge more freely with the world.

Research Plan:

Promote open access to Research

- *Develop transparent open access publishing and research data management policies that are inclusive and reflect core values of the University and promote best practices.*
- *Continue to growth of open access publishing at York*



York Case Study

Approach & Governance:

- Open Access Open Data Steering Committee
- Faculty Driven Approach

On the ground lessons

Open Access and Open Data Steering Committee

Welcome Governance Open Access at York Research data management overview Resources

Open Access and Open Data Steering Committee

Welcome to the pages of the Open Access and Open Data Steering Committee. This site will feature communications from the committee and links to campus-wide resources and reference materials.

The Open Access and Open Data Steering Committee will engage in broad stakeholder discussions to advance the following goals:

- To coordinate campus-wide education on open access and data management particularly in light of Tri-Agency Open Access Policy requirements and the Tri-agency Statement of Principles on Digital Data Management.
- To articulate a framework and coordinated service models that support faculty with these requirements.
- To create a wider forum for discussion and consideration on changes to the system of scholarship, sustainability of current economic models of scholarship, access to publicly funded research, issues surrounding authors rights in the digital age, and new scholarly distribution systems and other connected open movements.

<https://www.library.yorku.ca/web/open/>

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.

Governance

The [Open Access and Open Data Steering Committee](#) will engage in broad stakeholder discussions to advance the following goals:

- To coordinate campus-wide education on open access and data management particularly in light of Tri-Agency Open Access Policy requirements and the Tri-agency Statement of Principles on Digital Data Management.
- To articulate a framework and coordinated service models that support faculty with these requirements.
- To create a wider forum for discussion and consideration on changes to the system of scholarship, sustainability of current economic models of scholarship, access to publicly funded research, issues surrounding authors rights in the digital age, and new scholarly distribution systems and other connected open movements.

The [Open Access Policy and Implementation Working Group](#) supports the work of the Open Access & Open Data Steering Committee. The purpose of the fixed term working group involves developing a campus education plan and engagement strategy to inform the York community about open access/open scholarship and the principle of openness in the context of UAP, IIRP, and PIER in the pursuit of a larger open access institutional policy implementation plan in consultation with the Steering Committee.

The [Research Data Infrastructure Working Group](#) supports the work of the Open Access & Open Data Steering Committee. The purpose of the fixed term working group is to initially conceptualize a coordinated campus data governance structure for data management and campus education plan to inform the York community about research data management in consultation with the Steering Committee.

Opening a discussion at York ...

"We hope to begin a dialogue about how best to encourage and support Open Access publishing at York. We look forward to hearing more from you about:

- Benefits or issues you see arising from the policy
- Information about specific disciplines that might improve any policy or Open Access publishing initiatives at York.
- Stories about successes/challenges arising from your personal experience with open access."

What an open access policy is... and isn't...

An Open Access policy at York would support the following:

- The deposit of scholarship in an open access digital repository such as YorkSpace, the University's own institutional repository.
- The development of resources to help faculty benefit from the increased visibility resulting from Open Access publication.

An Open Access policy does not:

- Tell researchers where they can publish.
- Provide a one-size-fits-all framework. It is designed to be adapted and built upon in line with discipline- and field-specific practices.

A proposed policy...

The draft policy developed by the Policy Working Group has only three parts and reads as follows:

*Faculty and other researchers affiliated with York University **shall deposit their scholarship in a trusted open access repository** such as Yorkspace or its equivalent through a non-exclusive license.*

*The Provost or Provost's designate **[shall] waive application** of the Senate's policy for a particular work, or delay access for a specified period of time, upon express direction in writing by an author or authors. (Other policies, such as the Tri-Council OA policy shall continue to apply.)*

York University will undertake to provide a trusted open access repository for preservation and dissemination of research produced by York faculty and affiliated researchers and to provide the appropriate supports to enable its full utilization.

Talking Points for OA Policy at York

Authors:

- Increased visibility and reach of scholarship
- Ease of reuse and distribution of work
- Ensures work is preserved in a trusted repository
- Support to negotiate authors rights

Other:

- Accelerates discovery / improves education
- More equal access to scholarship
- Transparency

Using FAQ's - frequently asked questions...

EXAMPLE FROM YORK's FAQ

“What is meant by “scholarship” in the draft policy?

The policy applies to “scholarship,” which is typically presented in peer-reviewed scholarly articles, book chapters, and conference proceedings.

Many of the written products of faculty effort may not fall into this category (e.g. books and edited collections, open conference papers, newspaper and magazine articles, blogs and social media commentary, fiction and poetry, performances, artworks, ephemeral writings, lecture notes, lecture videos, software, or other such works.)”

CARL Open Access Policy work

Aim and approach

What might be helpful to you?



CARL Open Access Policy Framework

Tools for approaching and developing an institutional open access policy

Canadian context

- Scarcity of open access policies
- Universities Canada legal opinion
- Academic freedom and faculty unions



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from Noun Project

Open access policies and academic freedom

Academic Freedom: CAUT Policy Statement

“Academic freedom includes the right, without restriction by prescribed doctrine, to freedom to teach and discuss; **freedom to carry out research and disseminate and publish the results thereof**; freedom to produce and perform creative works; freedom to engage in service²; freedom to express one’s opinion about the institution, its administration, and the system in which one works; freedom to acquire, preserve, and provide access to documentary material in all formats; and freedom to participate in professional and representative academic bodies. Academic freedom always entails freedom from institutional censorship.”

Open access policies and academic freedom

Academic freedom is a priority for faculty and generally well-protected by collective agreements

Two flavours of academic freedom (Johnson):

- Negative: “freedom from external barriers to, or restrictions on, the unhindered pursuit and publication of research.”
- Positive: freedom to “pursue their work as they deem appropriate in their disciplinary context”

Open access policies and academic freedom

Potential/perceived conflicts:

- OA policies dictate how/where faculty must publish
- Heightened re: gold OA policies

Counterpoints:

- OA “encouragement” policies do not conflict with freedom
- OA rights-retention policies enhance AF by strengthening author copy rights, (Shieber, Johnson)
- Opt-out waiver: respects academic freedom

“Ultimately, academic freedom does not grant researchers the right to hide their research ...”

(Emery, Buckland, & Farley)

Amy Buckland,
Head, Research
and Scholarship,
University of
Guelph

Sample open access policies and academic freedom

[Open Access Policy for the University of Ottawa Library](#)

- Staff at the University of Ottawa Library will make the best possible effort to publish in open access venues that provide unrestricted public access to our works. **At a minimum, we will secure the right to self-archive our published materials, and will deposit these works in an open access repository, with a preference for uO Research.**
- We grant the University of Ottawa the non-exclusive right to make our scholarly publications accessible through uO Research subject to copyright restrictions.

[Association of Professors of the University of Ottawa](#)

- Members are free **“to express and disseminate the results of her scholarly activities in a reasonable manner ... without interference from the Employer, its agents, or any outside bodies.**

Sample open access policies and academic freedom

[SFU Open Access Policy](#)

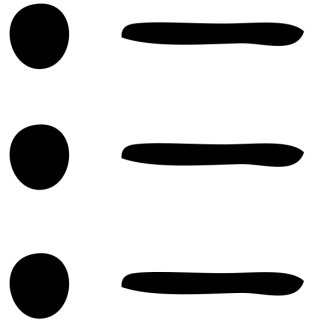
- ... we agree to archive and disseminate the scholarly articles we author by depositing these with the University.
- we grant Simon Fraser University the non-exclusive permission to archive, preserve, reproduce and openly disseminate, in any medium, all scholarly articles authored by us
- Waiver; no sanctions
- Free to publish in the journal of your choice

[Simon Fraser University Faculty Association](#)

- "...academic freedom ensures ... Freedom in undertaking research and publishing or making public the results thereof ...
- The parties agree that they will not infringe or abridge the academic freedom of any member of the academic community."

Takeaways

- One size does not fit all - customize your approach:
 - Institutional culture
 - Awareness/support for open access
 - Timing
- Process is as important as the final policy
 - Important that process is faculty-driven
 - Faculty associations and collective agreements may be key influencers
- Librarians provide expertise - but must educate ourselves first
- Set the stage for implementation & consider sustained participation/compliance
- Consult, consult and consult some more!



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Take your time!

Open Access Policies at North American Educational Institutions 477

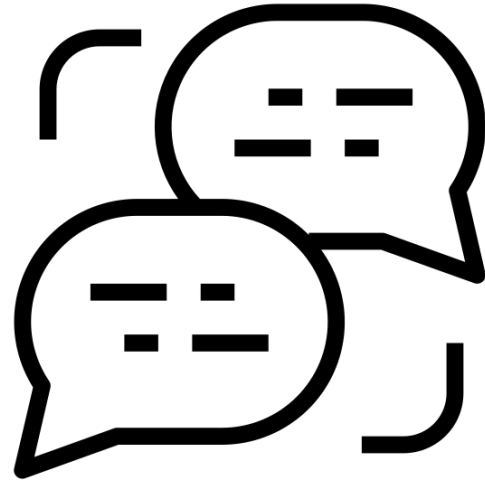
TABLE 4

Time Spent Educating Faculty on Open Access and the Policy

Amount of Time	Policy Enacted	Policy in Progress	Policy Failed
Less than six months	15%	0%	50%
Six to twelve months	33%	44%	50%
One to two years	31%	44%	0%
More than two years	21%	12%	0%

Your Experiences

Please share your experiences/ideas for developing an open access policy



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Resources

Registries of Policies

- [Open Scholarship Policy Observatory](#) - policy collections
- [ROARMAP](#) (Registry of OA Repository Mandates and Policies)

Guidelines on OA Policy Development

- [Good Practices for University Open Access Policies](#) (Shieber & Suber)
- [Policy Guidelines for the Development and Promotion of Open Access](#) (UNESCO)
- [UK Scholarly Communications Licence and Model Policy](#) (UK-SCL)

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