

Campus open-access policy “Choice Points”

If you are developing an institutional open-access (OA) policy for discussion on your campus, it is important to understand the options available to you. Understanding these “choice points” can help in constructing a policy that is most effective and best-suited to your institution's specific preferences.

This document contains a summary of these choice points as well as recommendations to assist in developing an open-access policy for your institution¹. Additional resources on developing and implementing a campus open-access policy, including expert consultation, are available from SPARC. See our page on campus policies at <http://www.arl.org/sparc/advocacy/campus>.

A brief background

Why establish a campus open-access (OA) policy?

The Internet can accelerate discovery, democratize access, and enable new strategies to address complex research challenges. To take advantage of these opportunities and to further their mission of creating, preserving, and disseminating knowledge, many academic institutions are taking steps to capture the benefits of Open Access by developing campus policies for the timely, free, online dissemination of institutional research outputs.

Research has shown that articles available freely online are cited more often and have greater impact than those not freely available.² Some faculty already make their work available on their own Web sites. However, many authors are unaware of the variety of options available to them to broaden the reach of their research, or are unsure of their rights and responsibilities. Establishing an open-access policy facilitates a coherent approach to maximizing the visibility and availability of your institution's research output, while ensuring preservation and compliance with copyright law.

How do campus open-access policies work?

The goal of a campus open-access policy is to ensure that the scholarly publications of an institution's faculty are freely accessible online, without interfering with the author's freedom to publish where she chooses.

Campus open-access policies accomplish this by collecting the faculty's publications on a Web site established by the institution, called an “institutional” or “digital” repository (IR). Several software platforms are available to create a repository, which can be hosted by the university (typically the library) or by an external provider. Repository software allows authors to easily add (“deposit” or “self-archive”) their own papers to the repository and librarians provide support.

Authors continue to submit manuscripts to the journals of their choice. When an author has an article accepted for publication, she makes a copy available for deposit in the repository, to be made openly

1 For a more detailed perspective, see: Peter Suber, “Open access policy options for funding agencies and universities,” *SPARC Open Access Newsletter*, February 2009. <http://www.earlham.edu/~peters/fos/newsletter/02-02-09.htm>

2 See “The effect of open access and downloads ('hits') on citation impact: a bibliography of studies”, *Open Citation Project*. <http://opcit.eprints.org/oacitation-biblio.html>

accessible. Deposits can be held for any length of time before they are made open access, for instance until the article has appeared in a publication or after a different embargo period after publication.

The basic policy framework recommended in this document highlights the institution's ability to play a central role in the stewardship of the scholarly record generated by its faculty. The framework is straightforward; campus OA policies require authors to make manuscripts available for deposit in an institution's repository at the time they are accepted for publication in a peer-reviewed journal. Authors automatically grant the institution the right to make their manuscripts openly accessible. At the same time, authors may request a waiver, or "opt out," of the institutional license for a given article if needed to accommodate a pressing individual circumstance.

Choice points

(1) Should your campus OA policy "request" or "require" deposit of faculty articles?

Some open-access policies *require* that authors deposit a copy of each manuscript accepted for publication in the institutional repository, while others merely *request* that authors do so.

Recommendation: Policies that *require* deposit are proven to achieve better results in ensuring Open Access to the institution's research.

The experience of the U.S. National Institutes of Health (NIH) demonstrates this. Under a voluntary policy in place for two years, fewer than 10% of manuscripts by NIH-funded authors were deposited into the NIH designated repository. After adopting a mandatory policy, compliance soared to nearly 50% in just the first few months (see <http://www.libraryjournal.com/info/CA6581624.html#news1>).

Open-access policies with deposit requirements have already been adopted at several schools – including Harvard, Stanford, University of Kansas and MIT – with strong faculty support. Additionally, researchers have found in surveys that 94% of researchers would comply with an OA mandate from their employer or research funder (see <http://www.earlham.edu/~peters/fos/2008/07/more-evidence-that-mandates-work.html>).

(2) To which types of content should your campus OA policy apply?

The traditional focus of Open Access has been on peer-reviewed journal articles. The reason is two-fold: first, because scholarly journal subscription prices have been subject to excessive cost increases over the past two decades, access has been especially imperiled (see <http://www.arl.org/sc/marketplace/journals/index.shtml>); second, because authors of scholarly journal articles do not receive royalties for their work, there is no risk of lost revenues for researchers.

However, there are other important types of scholarly communication. Monographs and book chapters, conference presentations, theses and dissertations, working papers, and datasets are also increasingly being made available via Open Access.

Recommendation: At a minimum, your campus OA policy should include peer-reviewed journal articles.

Policies covering ETDs (electronic theses and dissertations) are also common, well-developed, and generally supported by students as well as their faculty advisors. Since ETDs are authored by students

rather than faculty, ETD policies are usually developed through a different process than policies targeted at faculty research outputs (see also #11).

A few policies include book chapters or conference proceedings.³ More commonly, policies encourage but do not require authors to deposit their book chapters and conference proceedings.

There are very few policies requiring researchers to deposit unpublished materials, such as working papers and research notes, or unrefereed materials, such as editorials or books for a popular audience. Many institutional repositories accept deposits of such materials from their faculty, but do not require them. Similarly, there are few precedents regarding non-textual works, such as datasets, audio or video recordings, and works of creative art.

The bulk of open-access policies related to faculty research outputs focus on peer-reviewed journal articles. In general, we recommend limiting the deposit requirement initially to peer-reviewed journal articles, to minimize potential complications in adoption and to develop an experience base with which to consider appropriate policies for other forms of research outputs.

(3) Which types of content should your campus OA policy exclude?

In addition to delineating the types of content your open-access policy covers, some policies list types of content to which the policy *does not* apply, for clarification.

Recommendation: Aside from peer-reviewed journal articles accepted for publication, we recommend you remain open to exceptions, which may be warranted by different circumstances. Since open-access policies may be unfamiliar or seem technical to researchers at institutions exploring them for the first time, there is the danger that rumors and misinformation will arise and cause concern. Explicit exceptions to the open-access policy can reassure researchers as to its scope and nature.

For instance, a policy that applies to peer-reviewed journal articles accepted for publication would implicitly exclude classified research (which will not be published), patentable discoveries (to the extent that including them would interfere with a patent), and work rejected for publication. However, there would be little harm in *explicitly* excluding these types of content if it would help researchers better understand the policy.

(4) To whom should your campus open-access policy apply?

To date, campus open-access policies have applied to all faculty at the adopting institution. However, there have been some discussions about: whether junior faculty or non-tenure-track faculty should be included; whether students and staff should be included; how to manage faculty with multiple institutional affiliations; whether the policy should apply to all articles on which the researcher is listed as an author or only to those where she is the corresponding author; etc.

Recommendation: Have the policy apply to all faculty and all articles on which your faculty member is listed as an author or a co-author.

3 For instance, Université de Genève, University of Oregon Department of Romance Languages, University of Calgary division of Library and Cultural Resources, and institutes of the National Research Council Canada.
<http://www.earlham.edu/~peters/fos/2009/06/oa-mandate-at-u-geneve.html>

Some have been concerned that an open-access policy could make it more difficult to get published and limit especially junior faculty's need to build a strong publication record. However, there are no known cases where a publisher rejected an article due to an open-access policy that applied to the author.

By applying the policy to everyone, you give your authors far greater negotiating power with publishers. Moreover, building in an opt-out provision will help manage any issues that arise (see #7).

(5) What version of documents should your campus OA policy require authors to make available for deposit?

Most OA policies currently ask authors to make the final version of their peer-reviewed manuscript available for deposit. The final peer-reviewed manuscript is the version approved by peer review and accepted for publication, but not yet copy-edited or formatted – and not the final published version that appears in a journal. This is a working compromise that gives users the benefit of the peer-reviewed language while minimizing conflict with publishers, who claim a copyright interest in the final published version.

Recommendation: Require authors to make the final version of their peer-reviewed manuscript available for deposit, not the published version. Manuscripts should include a citation for the published edition and, if possible, a link to it. This practice helps establish proof and provenance of peer review, and assists readers in locating the published version if they wish to do so. Where publisher policies permit, you may wish to add an option to replace the author manuscript with the final published version in the repository.

(See #12 for other questions related to the content of your institutional repository.)

(6) What should the timetable for deposit and accessibility be?

Most campus open-access policies require manuscripts to be made available for deposit upon acceptance for publication. Some have been concerned that delaying deposit until after the article has been published or later increases the likelihood that authors will forget or misplace their manuscripts.

On accessibility, some publishers ask that the full text of an article not be shared on the Web until the final version has been published. Others ask that the full text be embargoed for a period after publication, such as 6 months.

Most repository software allows deposits to be kept “dark” (i.e. deposited but not accessible) until they are approved for release. So, the date of deposit may be different from the date of public release in the event of a publisher embargo.

Recommendation: It is recommended that authors deposit the full text and metadata (i.e. full citation information) when an article is accepted for publication. To minimize conflicts, it is recommended that policies either accommodate reasonable publisher embargo periods (such as six months after publication) or allow waivers (opt-out provisions) as described below.

The metadata should be made openly available upon deposit, even if the full text is initially dark. Thus your institutional repository will be a comprehensive publication record for your faculty, if not yet a comprehensive archive. Releasing metadata can also facilitate contact between authors and readers,

who may not be able to access the full text or would like to discuss findings.⁴

This dual deposit/release strategy ensures that the article is in the repository, that the metadata is making the article visible to search engines and potential users, and that the article is switched to OA, sometimes automatically, at the earliest possible moment.

(7) Should the campus OA policy allow faculty to opt-out?

Many campus open-access policies offer a broad opt-out provision, allowing faculty to obtain a waiver from the requirement to make an article openly available.

Recommendation: Allowing faculty to opt-out is a desirable provision. Although campus open-access policies have not been shown to impose a significant burden on authors, an opt-out provision can reassure faculty and account for unanticipated circumstances.

It is recommended that opt-outs be available per article and that authors be required to submit them in writing. The opt-out should apply only to making the article OA, not to deposit. Deposit of all faculty peer-reviewed articles should be required, even if some are kept dark. Opt-outs may be either permanent or temporary with an option to renew, so that dark deposits may eventually be made open.

A mandate with this kind of opt-out still accomplishes the important goal of shifting the default mode on campus to Open Access. Faculty who don't wish a manuscript to be openly available on the intended timetable, for personal preference or due to publisher request, must take on the added task of requesting a waiver. Changing the default can change behavior on a large scale.

(8) How should compliance with the campus OA policy be encouraged?

An institution's public commitment to Open Access can have a significant impact on author compliance. However, even among strong open-access policies, compliance rates have varied.

Recommendations

The following factors are likely to positively influence your compliance rate:

- Author buy-in and awareness. Proper consultation with faculty members throughout the policy's development is crucial in ensuring author participation. Following policy implementation, regular and multi-channel communication (i.e. through email, meetings, and memo from colleagues, administrators, and librarians) about the policy will promote compliance.
- Integrating added-value author services. Linking to the author's CV or publication list and otherwise making the repository a source for comprehensive information about the author, and other added benefits, will support compliance.

⁴ For instance, the EPrints repository software has implemented a "request eprint" button which allows readers to ask the author to email them a copy of the article when the full text is not yet available. See: Steve Hitchcock, "Boost repository content with EPrints 'Request eprint' button", *EPrints*, April 7, 2006.
http://www.eprints.org/news/features/request_button.php

- Using the repository for internal evaluations of research. Whenever the institution reviews faculty publications for promotion, tenure, funding, or other internal purpose, limit the review of journal publications to those on deposit in the IR. (See, for example, <http://researchrepository.napier.ac.uk>). Stop circulating stacks of paper to promotion and tenure committees and start circulating URLs to open-access editions of the same work.
- Make compliance a condition of research grants; articulate that compliance will be a factor in future grant applications or renewals.
- Provide a "financial supplement" to departmental budgets in proportion to the department's compliance rate. (See, for example, <https://repositorium.sdum.uminho.pt>). This creates an incentive for departments to help faculty understand the policy and deposit their articles.

(9) How will your campus OA policy secure the permissions necessary to provide Open Access?

There are two approaches to getting permission to provide Open Access to a published work. The first relies on permission from the publisher, after the author has transferred her rights. The second is to secure permission from the author, before she transfers any rights to the publisher.

Recommendation: Get permission directly from your faculty. It is recommended that your policy secure a specific non-exclusive license to the work for the institution, with the author retaining ownership and complete control of the copyright, subject only to this prior license. The license can be broad or narrow, but at a minimum must include the right to reproduce and distribute relevant works online non-commercially. Authors then may exercise their copyrights in any way they choose.

Under such a policy, authors may still negotiate copyright agreements with publishers. Your policy should encourage faculty to manage their rights in a responsible fashion, retaining the rights they need to ensure that the publisher's copyright agreement is balanced and supports the broad dissemination of the work. Author Addenda are available to facilitate rights retention and management through this process. However, under a campus open-access policy, in all cases the institution retains its license and the right to distribute the article from the repository, unless the requirement is waived via opt-out.

(10) Will your campus OA policy remove permission barriers to reuse?

The founding definitions of Open Access call for removing copyright restrictions that interfere with research and educational purposes. For instance, translating an article into a foreign language would make it more accessible to scholars and students who speak that language. However, a translation is considered a derivative work under copyright law and the rights holder's permission must be obtained first. Removing permission barriers is possible through the use of an open copyright license, such as a Creative Commons license. Most journals do not currently permit authors to use an open license, but there are two actions that can be taken to secure one:

- First, authors may negotiate for the rights they wish to retain by appending an author addendum to the standard publishing agreement. This can be effective, but does require (sometimes considerable) additional work on the author's part.
- Second, you can use your campus open-access policy to assign the institution the licenses

needed to remove barriers and authorize OA uses (as long as they are for non-commercial use).

Recommendation: Use your campus open-access policy to assign the institution all the rights necessary to provide adequate stewardship of the material and to facilitate distribution. Ensure that your authors are educated about their rights as creators of this material.

(11) How will your institution establish and manage its institutional repository?

By collecting your faculty's scholarship in one location, a repository showcases your institution's research, ensures preservation and professional management, and is a crucial tool in realizing and monitoring compliance with the open-access policy. The repository can also be used for other internal purposes (see #8). There are several repository software platforms available, some which are hosted by the institution and others by an external provider.

You may opt to have the library host the repository using free and open source software (e.g. EPrints, DSpace, Fedora), or for a commercial externally hosted repository (e.g. Digital Commons, Open Repository), or you may opt to use a repository hosted by a consortium of which your institution is a member (e.g. Texas Digital Library). For more information, see SPARC's repository resources (<http://www.arl.org/sparc/repositories>).

Recommendation: Select the option that makes the most sense for your institution.

Some of your authors may already be depositing in repositories, such as those hosted by research funders (e.g. NIH's PubMedCentral) or discipline-based repositories (e.g. arXiv for physics). Authors should be free to continue this practice and encouraged to do so as appropriate. An emerging generation of repository technology will facilitate automatic deposit in more than one repository or automatic harvesting from one repository to another.

(12) Will your IR allow other types of content?

Recommendation: Allow the deposit of unrefereed preprints, previous journal articles, conference presentations (slides, text, audio, video), book manuscripts, book metadata, the contents of journals edited or published on campus, open courseware, administrative records, and digitization projects from the library. The more categories you allow, the more you cultivate a culture of self-archiving.

Of particular interest are Electronic Theses and Dissertations (ETDs). The fact that they are not publications means there is no publisher with which to negotiate rights or payment. Moreover, you will begin to cultivate a habit of self-archiving in the next generation of scholars and send the message that Open Access should be the default for significant works of scholarship.

(13) Who should be responsible for developing and adopting a campus OA policy?

Befitting the diverse governance structures of universities and colleges, campus open-access policies have been developed through a variety of processes, including faculty votes and provostial dictates.

Recommendation: Follow the process most appropriate for your institution. In every case, it is strongly recommended that the authors affected by the policy are consulted in its development. A policy adopted by faculty vote is the strongest indication of faculty confidence and is most motivating for faculty at other institutions. However, a strong policy adopted by administrators is better than no

policy.

Faculty governance bodies are the most important to consult. Depending on the details of the policy and the nature of your employment contracts, it may be advisable to consult with the faculty union as well. If staff or student authors are included, they should also be consulted. It may be appropriate to specify a body responsible for managing implementation and updating the policy as appropriate, such as a new office or faculty task force.

(14) Will your campus OA policy require authors to publish in an OA journal?

There are two routes to Open Access. In the so-called “green” route, authors publish in any journal, including journals that are available only by subscription, and exercise their rights as authors to post a copy of the article on an open-access Web site. In the “gold” route, authors publish in journals that provide Open Access to their contents immediately upon publication. The majority of scholarly journals permit “green” author self-archiving as a matter of policy, and authors can negotiate for their rights in other cases. However, journals that provide immediate Open Access to all of their own content – “gold” OA journals – make up only a minority of journals.

There has been confusion in some quarters that open-access policies seek to require authors to publish in “gold” OA journals. However, no open-access policy to date has required this. However, some OA policies do *encourage* faculty to publish in OA journals. Some institutions have taken steps to support OA journals, including financially. In addition, at least one funder allows grantees to comply with its OA requirement by publishing in a “gold” journal rather than depositing in an OA repository, the Canadian Institutes of Health Research (see “Policy on Access to Research Outputs,” September 2007, <http://www.cihr-irsc.gc.ca/e/34846.html>). Although the number of OA journals is growing, a policy that requires authors to publish in an OA journal would restrict their choice of publication venue.

Recommendation: It is recommended that your policy encourage, but not require, authors to publish in OA journals. Given the potential for confusion, make clear that your policy will not eliminate the authors’ academic freedom to choose their publication venues and explicitly include an opt-out provision.

Regardless of whether an article is openly available elsewhere on the Web, your policy should require authors to ensure it also is deposited in your institutional repository, to help your institution monitor compliance, ensure preservation, and showcase your institution's research output. (See also #10.)

(15) How can your campus OA policy support journal sustainability?

Some have expressed concern that a transition to Open Access could mean the end of journal publishing, which has traditionally relied on subscription revenue, or even the end of the peer-review system. However, Open Access publishing relies on quality control, including peer-review, just as toll-access publishing does. And, the worldwide move toward Open Access is being made in measured steps so as to guard and sustain the performance of these critical functions. Under the NIH public access policy and its six-month embargo, for example, biomedical publishing has suffered no ill effect. Your campus open-access policy can contribute to the financial health of scholarly publishers and preservation of peer review.

Recommendation: Allow for reasonable embargo periods (such as six months after publication) to allow publishers to earn a financial return on their version of the article, or allow for opt-out provisions

in the policy. (See #6).

Consider allocating resources to support other avenues for open-access publishing, such as:

- Open Access funds. A sizeable percentage of OA journals use publication charges – payments made by authors post-acceptance – as a revenue source. Several institutions have established funds to pay those charges for their authors.
- OA publisher membership programs. Some OA publishers, such as the Public Library of Science and BioMed Central, offer institutional membership programs. In addition to supporting OA publishing, authors of institutional members receive discounts on publication fees.
- SCOAP³ (Sponsoring Consortium for Open Access Publishing in Particle Physics). SCOAP³ is a consortium of institutions that aims to redirect subscriptions from high-energy physics journals to convert those same journals to Open Access.
- OA-supportive organizations and programs. Several other organizations that provide services to support Open Access, such as SPARC, Bioline, and the Directory of Open Access Journals, offer institutional membership programs or sponsorship options.

For more information

Please visit the SPARC campus policies resource at <http://www.arl.org/sparc/advocacy/campus>. Contact information is also available on this site.