

What Universities and Administrators Can Do to Promote Open Access

Adopt a policy: In hiring, promotion, and tenure, the university will give due weight to all peer-reviewed publications, regardless of price or medium.

- **More:** The university will stop using criteria that penalize and deter publication in OA journals. All criteria that depend essentially on prestige or impact factors fall into this category. These criteria are designed to deny recognition to second-rate contributions, which is justified until they start to deny recognition to first-rate contributions. These criteria intrinsically deny recognition to new publications, even if excellent, that have not had time to earn prestige or impact factors commensurate with their quality. Because these criteria fail to recognize many worthy contributions to the field, they are unfair to the candidates undergoing review. They also perpetuate a vicious circle that deters submissions to new journals, and thereby hinders the launch of new journals, even if the new journals would pursue important new topics, methods, or funding and access policies. Therefore they retard disciplinary progress as well as the efficiency of scholarly communication.
- On February 27, 2004, the Indiana University Bloomington Faculty Council adopted a resolution <http://www.indiana.edu/~bfc/index.shtm> with this language: "In tenure and promotion decisions faculty and staff must be confident that there is departmental and university support for their decisions to publish in referred journals with more open access." (Details.) <http://www.earlham.edu/~peters/fos/lists.htm#indianauniversity>

Adopt a policy: faculty who publish articles must either (1) retain copyright, and transfer only the right of first print and electronic publication, or (2) transfer copyright but retain the right of postprint archiving.

- SPARC and the Creative Commons have developed an Author's Addendum <http://www.arl.org/sparc/author/addendum.shtml> for authors to add to their copyright transfer agreements with publishers. The purpose is to let authors retain the rights they need to authorize OA.
- The University of Kansas has language that other universities could borrow or adapt for this purpose. Kansas recommends but does not require that faculty insert the language into copyright transfer agreements with journals.
- The Association of American Law Schools has developed a model author/journal agreement.
- Other model licenses for scholars to borrow or adapt have been developed by Stuart Shieber (Harvard, computer science) and Mark Lemley (Stanford, law).
- The Johns Hopkins University Scholarly Communications Group <http://openaccess.jhmi.edu/index.cfm> has collected some model copyright and publishing agreements. http://openaccess.jhmi.edu/copyright_policies.html
- The Zwolle Group has a checklist <http://copyright.surf.nl/copyright/> of issues to think about when negotiating or signing an agreement with publishers, and some sample agreements <http://copyright.surf.nl/copyright/> for different scenarios.

Adopt a policy: when faculty cannot get the funds to pay the processing fee charged by an OA journal from their research grant, then the university will pay the fee.

- If the university is worried about a runaway expense, then it could cap the number of dollars or articles per faculty member per year, and raise the cap over time as the spread of OA brings about larger and larger savings to the library serials budget. In the case of publications based on funded research, the university could offer to pay the fees only when the funding agencies have been asked and will not pay.

See to it that the university launches an open-access, OAI-compliant archive.

<http://www.earlham.edu/~peters/fos/do.htm#librarians>

Adopt policies encouraging or requiring faculty to fill the institutional archive with their research articles and preprints.

- For example, endorse the recommendations <http://www.eprints.org/events/berlin3/outcomes.html> of the third Berlin OA conference <http://www.eprints.org/events/berlin3/> (March 2005), namely, "to require [your] researchers to deposit a copy of all their published articles in an open access repository" and "to encourage [your] researchers to publish their research articles in open access journals where a suitable journal exists and provide the support to enable that to happen."
- For example, require that any articles to be considered in a promotion and tenure review must be on deposit in the university's OA archive, with a working URL in the resume. For articles based on data generated by the author, the data files should also be on deposit in the archive. For books, authors should deposit the metadata and reference lists <http://users.ecs.soton.ac.uk/harnad/Temp/bookcite.htm>. For other kinds of output, faculty could deposit the metadata plus whatever other digital materials they wish to make accessible.
- According to the JISC/OSI Journal Authors Survey Report (February 2004, pp. 56-57), when authors are asked "how they would feel if their employer or funding body required them to deposit copies of their published articles in one or more [open-access] repositories...[t]he vast majority, even of the non-OA author group, said they would do so willingly." (Italics in original.)
- Also see the notes on developing a policy <http://www.eprints.org/documentation/handbook/policy.php> from the Eprints Handbook. <http://www.eprints.org/documentation/handbook/>

Adopt a policy: all theses and dissertations, upon acceptance, must be made openly accessible, for example, through the institutional repository or one of the multi-institutional OA archives for theses and dissertations.

- Some of the multi-institutional archives providing OA to electronic theses and dissertations are the Australian Digital Theses Program, Cyberthèses, Digitale Dissertationen in Internet <http://www.dissonline.de/>, Networked Digital Library of Theses and Dissertations <http://www.ndltd.org/>, and Theses Canada <http://www.collectionscanada.gc.ca/thesescanada/index-e.html>. (There are many others.)
- For the experience of CalTech in adopting such a policy, see Betsy Coles and George Porter, Smoothing the Transition to Mandatory Electronic Theses <http://caltechlib.library.caltech.edu/61/>, American Library Association, April 2003. Also see Kimberly Douglas, Betsy Coles, George S. Porter, and Eric Van de Velde <http://caltechlib.library.caltech.edu/58/>, Taking the

Plunge: Requiring the ETD, a conference presentation from May 2003.

- Also see Kimberly Douglas, To Restrict or Not to Restrict Access: The PhD Candidate's Intellectual Property Dilemma <http://caltechlib.library.caltech.edu/59/>, a conference presentation from May 2003.

Adopt a policy: all conferences hosted at your university will provide open access to their presentations or proceedings, even if the conference also chooses to publish them in a priced journal or book. This is compatible with charging a registration fee for the conference.

- See SPARC's list of conference management software. Most of the packages provide for the electronic submission and OA dissemination of conference presentations.
- See Kimberly Douglas' argument (January 2004) in favor of free or affordable access to conference proceedings. <https://www.haworthpress.com/store/ArticleAbstract.asp?sid=MU02PMVJNEBC8HK7QN1BV1EHNTD2BMDD&ID=38291>

Adopt a policy: all journals hosted or published by your university will either be OA or take steps to be friendlier to OA. For example, see the list of what journals can do.

<http://www.earlham.edu/~peters/fos/do.htm#journals#journals>

Support, even reward, faculty who launch OA journals.

- For example: give them released time, technical support, server space, secretarial help, promotion and tenure credit, publicity, strokes.
- Related: give due recognition to faculty who serve as editors or referees for OA journals, at least if this recognition is given for similar service on important traditional journals. Most OA journals, because they are new, haven't acquired the prestige of established, conventional journals, even if their quality is just as high or even higher. Universities should support faculty who help bring about a superior publishing alternative, not just those who bring prestige to themselves and the university through existing channels.



A Very Brief Introduction to Open Access

by Peter Suber <http://www.earlham.edu/~peters/fos/brief.htm>

Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions. What makes it possible is the internet and the consent of the author or copyright-holder.

OA is entirely compatible with peer review, and all the major OA initiatives for scientific and scholarly literature insist on its importance. Just as authors of journal articles donate their labor, so do most journal editors and referees participating in peer review.

OA literature is not free to produce, even if it is less expensive to produce than conventionally published literature. The question is not whether scholarly literature can be made costless, but whether there are better ways to pay the bills than by charging readers and creating access barriers. Business models for paying the bills depend on how OA is delivered.

There are two primary vehicles for delivering OA to research articles: OA archives or repositories and OA journals.

OA Archives or repositories:

OA archives or repositories do not perform peer review, but simply make their contents freely available to the world. They may contain unrefereed preprints, refereed postprints, or both.

Archives may belong to institutions, such as universities and laboratories, or disciplines, such as physics and economics.

Authors may archive their preprints without anyone else's permission, and a majority of journals already permit authors to archive their postprints. When archives comply with the metadata harvesting protocol of the Open Archives Initiative, then they are interoperable and users can find their contents without knowing which archives exist, where they are located, or what they contain. There is now open-source software for building and maintaining OAI-compliant archives and worldwide momentum for using it. The costs of an archive are negligible: some server space and a fraction of the time of a technician.

OA Journals:

OA journals perform peer review and then make the approved contents freely available to the world. Their expenses consist of peer review, manuscript preparation, and server space.

OA journals pay their bills very much the way broadcast television and radio stations do: those with an interest in disseminating the content pay the production costs upfront so that access can be free of charge for everyone with the right equipment. Sometimes this means that journals have a subsidy from the hosting university or professional society. Sometimes it means that journals charge a processing fee on accepted articles, to be paid by the author or the author's sponsor (employer, funding agency).

OA journals that charge processing fees usually waive them in cases of economic hardship.

OA journals with institutional subsidies tend to charge no processing fees.

OA journals can get by on lower subsidies or fees if they have income from other publications, advertising, priced add-ons, or auxiliary services. Some institutions and consortia arrange fee discounts. Some OA publishers waive the fee for all researchers affiliated with institutions that have purchased an annual membership. There's a lot of room for creativity in finding ways to pay the costs of a peer-reviewed OA journal, and we're far from having exhausted our cleverness and imagination.