

Open Access Policy Advocacy, Adoption and Implementation Services. Panel Discussion Notes

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B115-116, Oregon Convention Center
9:45-10:45 a.m.

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Prologue: Current Situation and Big Issues:

Emory: The faculty of Emory University adopted an open access policy in March 2011 (<http://guides.main.library.emory.edu/c.php?g=50081&p=324331>). The policy is supported by the OpenEmory repository (<https://open.library.emory.edu/>), which is built on Fedora.

Kansas: The KU Faculty Open Access Policy was adopted in 2009 (<http://policy.ku.edu/governance/open-access-policy>). The policy is supported by an installation of Dspace, KU ScholarWorks (<http://kuscholarworks.ku.edu/>).

Oregon State: Oregon State University adopted an open access policy on June 13, 2013 (http://cdss.library.oregonstate.edu/sites/default/files/osu_openacesspolicy_final_single_page.pdf). The ScholarArchive@OSU institutional repository is currently supported by an installation of Dspace (<http://ir.library.oregonstate.edu/>) but is in the process of being migrated to Sufia, a Hydra/Fedora Commons repository infrastructure.

I'll begin with a little background. As Jere noted, the Faculty Senate at Oregon State University passed a green open access policy in June 2013 that directs faculty to "provide an electronic copy of the author's final manuscript" to our IR. This policy is very similar to the policies passed at institutions across the country, including, I think, all of those represented on stage today. The policies provide each university with a non-exclusive license to distribute author's final manuscripts but include a waiver option.

As a land grant institution, OSU has long supported the distribution of the scholarship of its faculty and students to citizens of the state and the world in a variety of ways, and we see the OA policy as a significant milestone or extension of these longstanding efforts. Way back in 2005, the Faculty Senate passed an OA resolution that, among other things, encouraged the deposit of articles to the IR.

Our library also has a long-standing IR called ScholarsArchive@OSU that contains over 54,000 items including theses and dissertations, university publications, datasets, conference proceedings and faculty articles.

We've experimented with a variety of methods to encourage article deposits that will be

familiar to you all. We reviewed faculty vitas and requested versions of articles that could be deposited. We also worked closely, one might say opportunistically, with colleges that demonstrated an interest in OA and the use of the IR. After the OSU Library Faculty passed the world's first library faculty OA policy in 2009, we worked with those individual departments and colleges to pass their own OA policies. 2 colleges and a department level policy followed.

At this point, the percentage of OSU articles that were being deposited to the repository was around 12%. When the library began using the Web of Science database to identify and then request articles published by OSU faculty and students in 2012, the percentage increased to just under 50%, where it remains today.

With a goal of making as much OSU faculty scholarship OA as possible, the biggest challenge we face is: What can we do to further increase the rate of deposit of OSU faculty articles?

OSU's OA policy, like the other institutional OA policies in the United States, is not a true mandate. Policy waivers at most, if not all, OA institutions in the United States are automatically granted upon request. Also, there is no policy enforcement in place at these institutions, so even faculty who are aware of the policies are free to ignore them. Adoption of a policy that requires deposit of articles to the institutional repository in order for them to be considered for promotion and tenure appears to be a long way off in the United States, at least at the institution level.

Until more federal agency policies are implemented that require open access to articles funded by grants, or institutional policies are in place that require article deposit for promotion and tenure review, institutional OA policies will only be as effective as their library mediated processes and outreach efforts. Given this, we continue to request newly published articles from faculty and deposit them to the IR on their behalf. Our policy will continue to be promoted via this mechanism and in faculty meetings and workshops. We also intend to continue to provide value-added support to help faculty meet less easily ignored (if they want to continue to receive funding) emerging federal agency OA policy requirements.

That is the second major challenge we face: What value-added deposit services can we provide to help faculty meet federal agency public access requirements. We've established services to identify NIH and DOE funded articles and work with faculty to ensure deposit of those articles to meet those agency's requirements. Can we develop a consistent and sustainable set of services that provides real value to faculty in light of these requirements?

Rollins: 200+ faculty, with about half reporting publishing something in 2014, including 67 peer-reviewed articles. Arts & Sciences faculty (undergraduate faculty) passed an OA policy in February 2010 (http://scholarship.rollins.edu/open_access_policy.pdf). Library implemented a bepress Digital Commons IR at the same time (<http://scholarship.rollins.edu/>). Administered by our Digital Archivist, amongst many other responsibilities.

5 Questions:

1. **Advocacy: What strategies have been the most successful for building support for an OA policy?**

Oregon State: 1. Having a successful repository with which faculty are already familiar. 2. Building on history of OA at OSU, and also the land grant mission of making research of the university available to citizens of the state/world. 3. Explaining the value of OA in simple terms of increased dissemination and impact of faculty scholarship. 4. Explaining (and demonstrating) how simple it would be for faculty to meet the policy terms using a simplified deposit form or responding to our requests for articles. 5. Pointing to other OA policies around the country.

2. **Outreach & Education: How do you communicate with a body of faculty authors that may not understand how OA policies work?**

Oregon State: The hardest part of getting a policy passed at OSU was getting on our Faculty Senate's agenda. Once that was done, it was a lot of work but relatively smooth sailing from there. We'd been engaging with faculty for so long about open access. The Faculty Senate Executive Council helped the OA policy task force (which included two librarians, me and my boss, one senior faculty, and one junior faculty) prepare two presentations to the full faculty senate. We did dry runs of the presentations to the executive council and they gave us suggestions for shortening and improving them. The non-library faculty on the task force gave all presentations to faculty senate. Faculty departmental and college meetings were very important. Once the policy draft was created, we held a number of open meetings about the policy that were sparsely attended (at best). We solicited questions and comments via email and the web, and responded to a handful of comments and questions that informed an FAQ and other OA policy pages that we publicized widely and made available online. Most important was that we already had a process in place for soliciting and depositing faculty articles that nearly all faculty on campus were familiar with (see workflow section below).

Workflow: How do you manage the policy compliance and manuscript submission process?

Oregon State: Authors were already familiar with a process we'd put in place one year and a half prior to the passage of the campus-wide OA policy, whereby we use Web of Science RSS feeds to identify newly published OSU faculty articles and request those articles from faculty. Our policy, like other Harvard style policies, gives OSU a non-exclusive right to deposit final manuscript versions of articles to our IR. Like at MIT and Rhode Island, we've notified all publishers of the policy and take advantage of the policy license by depositing the final manuscript versions of all articles we receive to our IR, except for articles from the handful of publishers who notified us that they would require OSU authors to get policy waivers. We also implemented a new SWORD-based article deposit/waiver form that simplifies the self-deposit process and automatically gathers article metadata from CrossRef. Using this form, it takes less than a minute for faculty to deposit an article or get a waiver, and also simplifies the metadata enhancement process for library staff working in the repository.

3. Librarians: In what ways are subject librarians and other library staff involved in supporting your open access policy?

Oregon State: Subject librarians were invited to attend and participate (as interested) in presentations to academic units/colleges. Subject librarians helped me and other members of the OA policy task force get on departmental faculty agendas to discuss the policy. Many subject librarians were integrally involved in passing college and departmental policies that preceded the campus-wide policy and continued their advocacy throughout the process of passing the campus-wide policy. Two staff within our Center for Digital Scholarship devote part of their time (approximately 50 total hours/week) to faculty article deposits.

4. Legalities: What copyright issues have you met with and how are you addressing these?

Oregon State: For now, we do not take advantage of the "Harvard-style" license to its fullest extent: publisher embargoes are honored, for the reasons that Ada at Kansas mentions. We hear from the occasional faculty member who has concerns about going against a publisher's wishes and point out that policy waivers are automatically granted. Rarely (that is, twice) OSU faculty have expressed concerns about being sued by their publisher if their article is available in the IR, even if an embargo is applied, and have asked if the university will back them if they are sued. We point out the waiver option in these cases.