

Ingredients for establishing institutional open access policies

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Why make your publications freely available?

- it was funded by the public (tax \$) and/or by philanthropists who do not subscribe to academic journals
- to support researchers in developing countries and/or researchers who do not have an academic affiliation
- to increase visibility and citations for your work
- because your funding agency mandates it

How can you make your publications freely available?

Use an **institutional repository**, an “online archive for **collecting, preserving, and disseminating** digital copies of the intellectual output of an institution.” - Wikipedia

Woods Hole Oceanographic Institution's repository is WHOAS: <https://darchive.mblwhoilibrary.org/>

But... publishing the paper in a repository may be prohibited by the publication agreement you have signed!

WHOAS (and other repositories) are linked to Google Scholar!

Changes in deep-water CO₂ concentrations over the last several decades determined from discrete pCO₂ measurements

[PDF] [mblwhoilibrary.org](https://darchive.mblwhoilibrary.org/)

..., T Takahashi, [RA Feely](#), JL Bullister, [SC Doney](#) - Deep Sea Research ..., 2013 - Elsevier

Detection and attribution of hydrographic and biogeochemical changes in the deep ocean are challenging due to the small magnitude of their signals and to limitations in the accuracy of available data. However, there are indications that anthropogenic and climate change ...

Cited by 11 Related articles All 10 versions Web of Science: 7 Cite Save

Institutional Open Access (OA) Policies

MIT model (2009, first institution-wide faculty OA policy)

The OA Policy changes the legal default so that authors retain copyright, rather than the publisher, for each publication they submit. The OA Policy grants the institution a license to **distribute the final, published, typeset article** through an institutional repository (MIT DSpace).

The OA Policy does not address or have any direct relationship to journal selection and is unrelated to an author's choice to publish an article through an OA journal or by paying an OA fee.

Individual publishers may require authors to opt out of the OA policy. However, many publishers who require authors to opt out still allow publication to institutional repositories (for example, after 1 year embargo period, or they may only allow the author's postprint to be published).

Institutional Open Access (OA) Policies

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over 50% of faculty-
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The MIT policy applies to all papers with an MIT faculty member as a coauthor. Faculty and their legal team did not believe they had jurisdiction to enact a mandatory policy for all members of the MIT community.

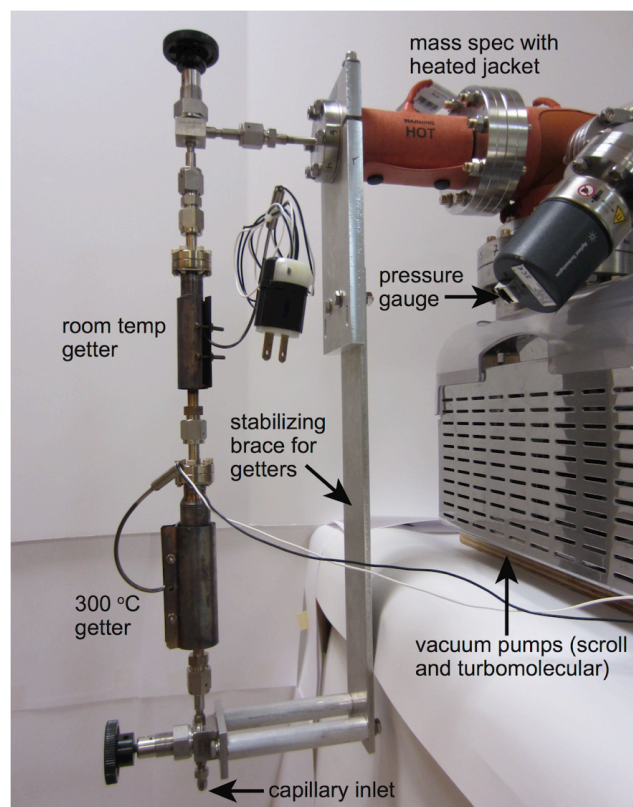
Many other institutions have adopted similar policies:
Harvard, Stanford, Princeton, University of California, etc.

My motivation for pursuing open access at WHOI and MIT

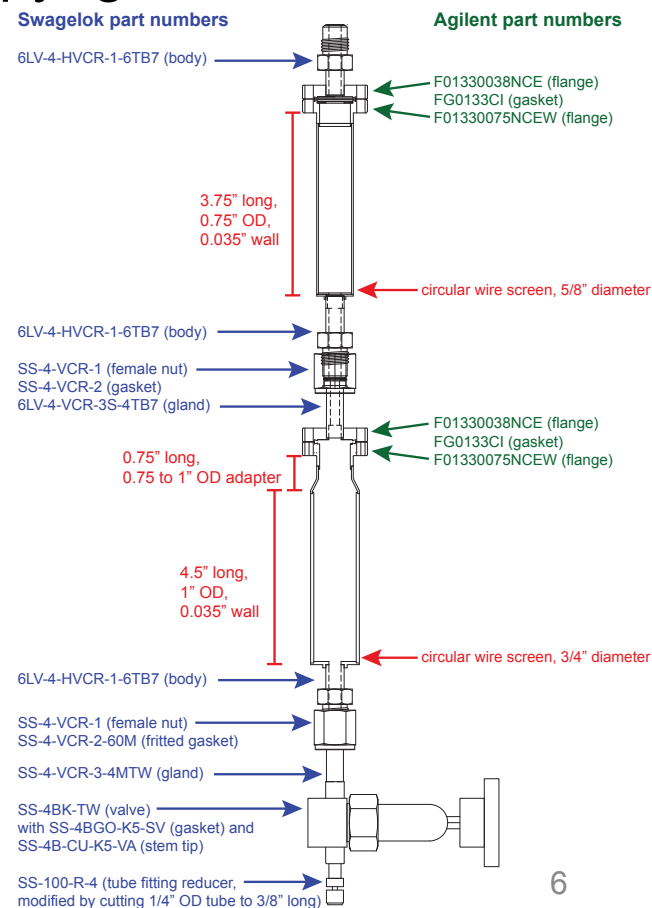
I submitted an instrument development paper from my PhD work.

The instrument was funded by an NSF grant and supposed to be available to the scientific community.

But... the publisher wanted me to transfer copyright before it even went out for review!



Manning et al. (2016)
Analytical Chemistry



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My request for an amendment to the publication agreement was rejected.

Institutional policies
are more effective
than individual
negotiation!

AMENDMENT TO PUBLICATION AGREEMENT

The Woods Hole Oceanographic Institution and the Marine Biological Laboratory encourage authors to consider using this amendment to specify the rights that are retained by the author[s] when copyright is transferred to a journal.

1. This Amendment hereby modifies the attached Publication Agreement concerning the following Article:

(Manuscript title)

(Journal name)

I contacted staff at MIT and MBL-WHOI Libraries about the possibility of establishing an open access license that would benefit Joint Program students (September 2015).

At WHOI: Ann Devenish, Lisa Raymond, and Jim Yoder were all supportive. Lisa worked to come up with a policy that would fit WHOI.

At MIT: Ellen Finnie, Graduate Student Council, and others were supportive. Ellen worked with an MIT attorney to develop a license that would work for non-faculty MIT authors.

Grad students
were also very
supportive!

1 - 10 of 70 Ideas

Sort by Most supported ▾

MIT Future of Libraries Idea Bank

Expand open access policies to include all members of the MIT community

Cara Manning | October 16, 2015

One of MIT's missions is to disseminate its research results to the world. In this spirit, the MIT faculty... [\(more\)](#)

Tools & technologies for discovering, organizing, and preserving information

Research and publishing support

Library collections (physical and digital)

The library in community

Support this idea 👍

53 people have voted.

MIT Open Access Policy for Non-Faculty Authors (announced April 2017)

Reviewed by MIT Intellectual Property Committee and approved by VP Research.

Opt-in policy: Researcher fills out a form online and the policy applies to any articles published after signing the form. The author commits to submit all final published articles to MIT DSpace. Author fills out another form to opt out for individual articles.

An opt-in policy was selected as it was not clear who had jurisdiction to make a mandatory policy for postdocs, research staff, etc.

Web articles:

<http://news.mit.edu/2017/institute-announces-new-open-access-policy-all-mit-authors-0406>

<https://libraries.mit.edu/scholarly/mit-open-access/>

WHOI Open Access Policy (announced April 2017)

Approved by staff council and board of trustees

All employees and students are automatically covered for any papers published while affiliated with the institution (after the policy is in effect).

Focuses on submitting **postprint** (author's version of accepted manuscript, after peer review but prior to copyediting) to WHOAS.

Opt out simply by not submitting your paper.

Web articles:

<http://www.capecodtimes.com/news/20170408/whoi-opens-locked-door-to-science-research>

<http://www.mblwhoilibrary.org/services/whoi-open-access-policy>

What about papers I've already published?

Some publishers allow authors to archive the postprint or typeset version

- To find out the policy for a specific journal, email MBLWHOI Library staff!
- Or, check publisher copyright policies at [SHERPA/RoMEO](http://www.sherpa.ac.uk/romeo)
 - This is a UK-based website. Policies for US authors are occasionally different – library staff can advise if needed.

<http://www.sherpa.ac.uk/romeo>

Journal:	Geophysical Research Letters (ISSN: 0094-8276 , EISSN: 1944-8007)
RoMEO:	This is a <u>RoMEO green</u> journal
Paid OA:	A paid open access option is available for this journal.
Author's Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Author's Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Publisher's Version/PDF:	✗ subject to Restrictions below , author can archive publisher's version/PDF
General Conditions:	<ul style="list-style-type: none">• Authors' Pre-print on authors' personal website or departmental website• Authors' Post-print on authors' personal website or departmental website• Set statements to accompany submitted, accepted and published articles• Publisher copyright and source must be acknowledged with DOI• Publisher's version/PDF must be used in Institutional Repository 6 months after publication.

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- Or, check publisher copyright policies at [SHERPA/RoMEO](http://www.sherpa.ac.uk/romeo)
 - This is a UK-based website. Policies for US authors are occasionally different – library staff can advise if needed.

<http://www.sherpa.ac.uk/romeo>

Check with coauthors

Their institutions or employers may have OA policies allowing them to put the article in their own institutional repositories. OA policies generally apply to all coauthors and not only the first author!

Consider paying an open access fee

Papers that are open access on the publisher's website can *usually* also be published in an institutional repository. Make sure you understand what rights you gain before paying the fee.

Annotate your postprint with the correct citation information

9 the other gases to improve sensitivity. The precision is 0.7 % or better and 1.0 % or better for
10 all mole ratios when the instrument is installed in a temperature-controlled environment and a
11 variable-temperature environment, respectively. In the lab, the accuracy is 0.9 % or better for

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‡Woods Hole Oceanographic Institution

¶Wellesley College

Cite as:

Manning, CC, RHR Stanley, DE Lott (2016) Continuous measurements of dissolved Ne, Ar, Kr, and Xe ratios with a field-deployable gas equilibration mass spectrometer. *Anal.*

1 *Chem.*, 88 (6), 3040–3048.

DOI: 10.1021/acs.analchem.5b03102

In some cases, the publisher has **requirements** on what annotations must be included on postprints and preprints.

My thoughts...

Ingredients for an institutional OA policy

- persistent advocates for policy (needs to be driven from researchers, not admins)
- careful communication to stakeholders (there are many misconceptions about OA)
- limited bureaucracy (clear process for establishing policy)
- staff with experience with institutional culture/history (knowledge of what has been successful and unsuccessful in the past)

Progress pursuing an OA policy for publications at UBC

Strengths:

- Canadian Tri-Council OA Publications Policy

Challenges:

- large institution (65 000 students, 16 000 staff)
- newer staff in key positions
- less awareness and use of OA policies and repositories in Canada

2013 UBC Faculty Senate OA Position Statement: faculty are “encouraged” to deposit research output in the institutional repository in accordance with copyright arrangements. (Faculty voted down a mandatory policy.)

But... in 2017 SFU Faculty Senate passed a mandatory OA policy for faculty, postdocs and students!

Canada's Tri-Agency Open Access Policy on Publications

Covers NSERC (Natural Sciences and Engineering), CIHR (Health Research), and SSHRC (Social Science and Humanities).

Grant recipients are required to ensure that any peer-reviewed journal publications arising from Agency-supported research are freely accessible within 12 months of publication (through an online repository and/or the journal website).

Grant recipient has the responsibility for determining which journals permit posting to an online repository.

(Unlike the MIT OA policy, there is no mandate on the publisher to require this!) Article processing charges are an eligible expense for grant funds, but Canadian grants are generally small.

Canada's Tri-Agency Open Access Policy on Publications

The problem... this policy is resulting in more government funding going to publishers instead of research!



Simon Donner
@simondonner

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Things that cost US\$5200 (~CDN\$6600):

i) an article in Nature Communications

[nature.com/ncomms/about/a ...](https://www.nature.com/ncomms/about/a...)

ii) this 2006 Toyota Prius

[autotrader.ca/a/toyota/prius ...](https://www.autotrader.ca/a/toyota/prius...)



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Progress pursuing an OA policy for publications at UBC

My strategies:

- 1) focus on potential cost savings for institution
(want to approach Office of Research Services)
- 2) work on establishing an opt-in policy as a first step
- 3) focus on my own department
 - AGU allows publisher's version of all articles from all journals to be put in a repository after a 6 month embargo. I am looking into harvesting existing faculty publications to raise awareness for the UBC repository.

Ingredients for establishing institutional open access policies

Questions/Thoughts/Ideas?

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