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What You Can Do to Promote Open Access

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What Faculty Can Do to Promote Open Access

Submit your research articles to OA journals, when there are appropriate OA journals in your field.

Deposit your preprints in an open-access, OAI-compliant archive. <http://www.openarchives.org/>

- It could be a disciplinary or institutional archive.
- If your institution doesn't have one already, then faculty or librarians should launch one. See the list for librarians, below. <http://www.earlham.edu/~peters/fos/do.htm#librarians>
- If you have questions about archiving your eprints, then see Stevan Harnad's Self-Archiving FAQ. <http://www.eprints.org/openaccess/self-faq/>

Deposit your postprints in an open-access repository.

- The "postprint" is the version accepted by the peer-review process of a journal, often after some revision.
- If you transferred copyright to your publisher, then postprint archiving requires the journal's permission. However, many journals --about 80%-- have already consented in advance to postprint archiving by authors. Some will consent when asked. Some will not consent. For publisher policies about copyright and author archiving, see the searchable database maintained by Project SHERPA. <http://romeo.eprints.org/stats.php>
<http://www.sherpa.ac.uk/romeo/index.html>
<http://www.sherpa.ac.uk/>
- If you have not yet transferred copyright to a publisher, then ask to retain copyright. <http://www.earlham.edu/~peters/fos/do.htm#retaincopyright>
- If the journal does not let you retain copyright, then ask at least for the right of postprint archiving.
 - If it does not let you retain the right to archive your postprint, then ask for permission to put the postprint on your personal web site. For many journals, the difference between OA through an archive and OA through a personal web site is significant.
- If you have transferred copyright and the publisher does not allow postprint archiving, then at least deposit the article's metadata (essentially, citation information like author, title, journal, date, and so on) in an OA archive. That will allow researchers to learn of the article's existence when running searches, and ask you for a copy by email.
 - In most cases you can also put the full-text in the archive and select an option for "institutional access" rather than "open access". At least that makes the article available to your immediate colleagues and students. Moreover, if the publisher allows OA archiving after an embargo period like six months, then this method makes OA one mouse click away, easy to reach when the time comes.
- The chief benefit of postprint archiving is reaching a much larger audience than you could reach with any priced publication (in print or online). Reaching a larger audience increases your impact, including your citation count. Many studies confirm that OA articles are cited significantly more often (on the order of 50-300% more often) than non-OA articles from the same journal and year. <http://opcit.eprints.org/oacitation-biblio.html>
- Because most non-OA journals permit postprint archiving, it is compatible with publishing in a non-OA journal. Don't assume that publishing in a conventional or non-OA journal forecloses the possibility of providing OA to your own work --on the contrary.

Deposit your data files in an OA archive along with the articles built on them. Whenever possible, link to the data files from the articles, and vice versa, so that readers of one know where to find the other.

When asked to referee a paper or serve on the editorial board for an OA journal, accept the invitation.

- Faculty needn't donate their time and labor to journals that lock up their content behind access barriers where it is less useful to the profession. Universities should support faculty who make this otherwise career-jeopardizing decision. Faculty don't need to boycott priced journals, but they don't need to assist them either.

If you are an editor of a toll-access journal, then start an in-house discussion about converting to OA, experimenting with OA, letting authors retain copyright, abolishing the Ingelfinger rule, or declaring independence (quitting and launching an OA journal to serve the same research niche).

<http://www.earlham.edu/~peters/fos/lists.htm#declarations>

- For more ideas of what journals can do, see the list for journals <http://www.earlham.edu/~peters/fos/do.htm#journals>

Volunteer to serve on your university's committee to evaluate faculty for promotion and tenure. Make sure the committee is using criteria that, at the very least, do not penalize faculty for publishing in peer-reviewed OA journals. At best, adjust the criteria to give faculty an incentive to provide OA to their peer-reviewed research articles and preprints, either through OA journals or OA archives.

See how other learned societies support OA.

<http://www.earlham.edu/~peters/fos/newsletter/11-02-07.htm#list>

Work with your professional societies to make sure they understand OA. Persuade the organization to make its own journals OA, endorse OA for other journals in the field, and support OA eprint archiving by all scholars in the field.

<http://www.earlham.edu/~peters/fos/overview.htm>

- If the society launches a disciplinary eprint archive for the field, consider offering to have your university host it, just as arXiv (for example) is hosted by Cornell. <http://arxiv.org/>
- Also see the list of what learned societies can do. Ask the societies where you pay dues to consider these actions. Ask other members to help you change access policies at the society. <http://www.earlham.edu/~peters/fos/do.htm#societies>

Write opinion pieces (articles, journal editorials, newspapers op-eds, letters to the editor, discussion forum postings) advancing the cause of OA.

Educate the next generation of scientists and scholars about OA.

What Librarians Can Do to Promote Open Access

Launch an open-access, OAI-compliant institutional eprint archive, for both texts and data.

- The main reason for universities to have institutional repositories is to enhance the visibility, retrievability, and impact of the research output of the university. It will raise the profile of the work, the faculty, and the institution itself.
- A more specific reason is that a growing number of journals allow authors to deposit their postprints in institutional but not disciplinary repositories. Even though this is an almost arbitrary distinction, institutions without repositories will leave some of their faculty stranded with no way to provide OA to their work.
- "OAI-compliant" means that the archive complies with the metadata harvesting protocol of the Open Archives Initiative (OAI). This makes the archive interoperable with other compliant archives so that the many separate archives behave like one grand, virtual archive for purposes such as searching. This means that users can search across OAI-compliant archives without visiting the separate archives and running separate searches. Hence, it makes your content more visible, even if users don't know that your archive exists or what it contains.
<http://www.openarchives.org/>
- There are almost a dozen open-source packages for creating and maintaining OAI-compliant archives. The four most important are Eprints (from Southampton University), DSpace (from MIT), CDSWare (from CERN), and FEDORA (from Cornell and U. of Virginia). <http://www.eprints.org/software/>

Help faculty deposit their research articles in the institutional archive.

- Many faculty are more than willing, just too busy. Some suffer from tech phobias. Some might need education about the benefits.
- For example, some university libraries have dedicated FTE's who visit faculty, office by office, to help them deposit copies of their articles in the institutional repository. The St. Andrews University Library asks faculty to send in their articles as email attachments and library staff will then deposit them in the institutional repository.

Consider publishing an open-access journal. Here are some early examples but not a complete list.

- Philosophers' Imprint, from the University of Michigan, is a peer-reviewed OA journal whose motto is, "Edited by philosophers. Published by librarians. Free to readers of the Web." Because the editors and publishers (faculty and librarians) are already on the university payroll, Philosophers' Imprint is a university-subsidized

OA journal that does not need to charge upfront processing fees.
<http://www.philosophersimprint.org/>

- The library of the University of Arizona at Tucson publishes the OA peer-reviewed Journal of Insect Science. For detail and perspective on its experience, see (1) Henry Hagedorn et al., Publishing by the Academic Library, a January 2004 conference presentation, and (2) Eulalia Roel, Electronic journal publication: A new library contribution to scholarly communication, College & Research Libraries News, January 2004.
<http://www.insectscience.org/>
- The Boston College Libraries publish OA journals edited by BC faculty. See their press release from December 16, 2004.
<http://www.bc.edu/libraries/>
- The OA Journal of Digital Information is now published by the Texas A&M University Libraries.
<http://jodi.tamu.edu/>

Consider rejecting the big deal, or cancelling journals that cannot justify their high prices, and issue a public statement explaining why.

- See my list of other universities that have already done so. If they give you courage and ideas, realize that you can do the same for others. <http://www.earlham.edu/~peters/fos/lists.htm#actions>
- Give presentations to the faculty senate, or the library committee, or to separate departments, educating faculty and administrators about the scholarly communication crisis and showing how open access is part of any comprehensive solution. You will need faculty and administrative support for these decisions, but other universities have succeeded in getting it.

Undertake digitization, access, and preservation projects not only for faculty, but for local groups, e.g. non-profits, community organizations, museums, galleries, libraries. Show the benefits of OA to the non-academic community surrounding the university, especially the non-profit community.

Join SPARC, a consortium of academic libraries actively promoting OA. <http://www.arl.org/sparc/>

Join the Alliance for Taxpayer Access, a coalition of U.S.-based non-profit organizations working for OA to publicly-funded research. See the existing members of the ATA. If you can persuade your university as a whole to join the ATA, then do that as well. <http://www.taxpayeraccess.org/member.html>



A Very Brief Introduction to Open Access

by Peter Suber <http://www.earlham.edu/~peters/hometoc.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.

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.

What Research Funders Can Do to Promote Open Access

Put an OA condition on research grants. By accepting a grant, the grantee agrees to provide open access (OA) to any publications that result from the funded research.

- The condition can make reasonable exceptions, e.g. for classified military research, patentable discoveries, and works intended to generate revenue.
- The condition should give grantees a choice of ways to provide OA. In particular, it ought to give grantees the choice between OA archives and OA journals. When grantees choose OA archives, they should be allowed to deposit their work in any OA archive that meets certain conditions of accessibility, interoperability, and long-term preservation. The interoperability condition could be satisfied by complying with the metadata harvesting protocol of the Open Archives Initiative. Qualifying archives need not be hosted by the foundation or funding agency; they could, for example, be hosted and maintained by universities. <http://www.openarchives.org/>
- 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.)

When a grant recipient publishes the results of funded research in an OA journal that charges a processing fee, offer to pay the fee. Consider the cost of OA dissemination to be part of the cost of research.

- Even better: encourage grantees to submit their work to OA journals when there are suitable ones in the field.

- Even better: earmark some grant funds for OA journal processing fees. That way grantees will not have to reduce their research funds in order to pay the fees.

Give grants to new open-access journals to help them launch and establish themselves. Give grants to newly formed editorial boards that want to launch new open-access journals.

Give grants to open-access journals to cover the processing fees of authors who cannot afford to pay them.

Give grants to conventional journals to cover the costs of converting to open access.

Give grants to conventional journals to cover the costs of digitizing their back runs, on the condition that they will then provide open access to them.

Allow your grants to be used for building endowments for open access journals and archives. Endowed OA journals and archives will not need to seek further funding from any source.

Ask researchers applying for grants to deposit their existing peer-reviewed research articles in OA archives, and to maintain a standardized, online CV linking to OA versions of these articles. For more details, see this 2003 article by Stevan Harnad, Les Carr, Tim Brody, and Charles Oppenheim. <http://www.ariadne.ac.uk/issue35/harnad/>



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