

# Implementing Institutional Open Access Policies: Challenges and Opportunities

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# COAPI (Coalition of Open Access Policy Institutions)

*“The Coalition of Open Access Policy Institutions (COAPI) brings together representatives from North American universities with established faculty open access policies and those in the process of developing such policies. It was formed to share information and experiences and to illuminate opportunities for moving faculty-led open access forward at member institutions and advocating for open access nationally and internationally. COAPI will offer a collection of best and evolving practices to act as a roadmap for inspiring, promoting and implementing open access policies at institutions without existing or effective open access policies.”*



*COAPI is affiliated with SPARC (the Scholarly Publishing and Academic Resources Coalition)*

# COAPI Principles



The Coalition is committed to the following:

- The immediate and barrier-free online dissemination of scholarly research resulting in faster growth of new knowledge, increased impact of research, and improved return on public research investments
- Developing and implementing institutional open access policies
- Sharing experiences and best practices in the development and implementation of Open Access Policies with individuals at institutions interested in cultivating cultures of open access
- Fostering a more open scholarly communication system through cultural and legislative change at the local, national, and international levels

<https://sparcopen.org/coapi/about/#principles>

# COAPI membership continues to grow; *green OA is here to stay* in our institutions

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- Steady growth each year; now 98 institutional members in two categories
- Institutional membership; most members are represented by a librarian OA specialist, such as a scholarly communication librarian or library director. Individual representatives are involved in open access initiatives and advocacy generally.
- Members have in common: many have Harvard-style license, commitment to moving OA forward within a collegial, focused group of colleagues
- COAPI provides trusted environment for discussion of policymaking and/or implementation strategies

# Action and advocacy in two parts: *passing* and then *implementing* an institutional OA policy

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## Drafting a policy

The license, a key foundation of many institutional OA policies

Many follow the excellent advice detailed in “*Good practices for university open-access policies*” by Stuart Shieber and Peter Suber (Harvard) ‘ COAPI has endorsed this approach...while acknowledging that not every practice will be appropriate for every institution.

([https://cyber.harvard.edu/hoap/Drafting\\_a\\_policy#Types\\_of\\_policy](https://cyber.harvard.edu/hoap/Drafting_a_policy#Types_of_policy))

- **Passing a policy university-wide**
- **Implementation follows (with many strategies in use)**

# The Rutgers Experience: Policymaking and Implementation

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- **Charge** to the Rutgers Senate; more than a year of targeted outreach to university groups
- **Deep discussions** on OA
- **The policy passes** in the Senate (Oct. 2012) and then must go through many channels before **president signs off**. The policy becomes **official university policy**
- **Implementation begins** with a subcommittee of faculty/grad students, development of website, workflows, outreach, communications, liaison program
- **Policy goes into effect** on Sept. 1, 2015 via **SOAR (Scholarly Open Access at Rutgers)**
- **Three year assessment to the Senate** will provide review

Institutional OA policies usually the result of a faculty governance vote, most are unanimous

The Rutgers vote was near-unanimous in the inclusive Senate of more than 220 members.

Senate Vote on OA Policy, Oct., 2012



# The Rutgers policy: Examples of Innovation in Implementation

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- First university in the world to include graduate students and postdoctoral scholars in official university policy. This allows Rutgers to begin to build a robust research environment for early career researchers (ECRs).
- Allowing deposit of supplemental data alongside a published article; interest in deposit of the entire “package” that makes up the publication

# SOAR

(Scholarly Open Access at Rutgers)

A website, a portal, and a set of services

Not just for depositing your work, but a place to engage with open access, find information about the policy, find collaborators, and contact us for consultation.

The screenshot shows the Rutgers SOAR website. At the top left is the Rutgers logo with the text "THE STATE UNIVERSITY OF NEW JERSEY". To the right are links for "My Account" and "Search Rutgers". Below the logo is a blue banner with "SOAR" in white and "Scholarly Open Access at Rutgers" in blue. A navigation menu on the left includes: "Deposit Your Work", "Search & Browse", "About SOAR", "Library Services for Researchers", "FAQ", "RUcore", and "Contact Us". The main content area features a "DEPOSIT your work" button and a "SHARE your story" button. A quote from a graduate student is displayed: "As a graduate student it is very important for me to publish and make a niche for myself in a particular area of research. Open access allows me to extend the reach of my work by making it more available to others." Below this is a search section titled "Search SOAR" with two search boxes and a "Search" button. To the right is an "Open Access Policy" section with links to "Rutgers Open Access Policy", "Policy printable fact sheet", "Senate resolution", and "Senate report", accompanied by the Open Access logo. Further down are sections for "Watch an Open Access Video" (with a video player icon), "Recent Submissions" (listing various academic papers), and "Most Downloaded This Week" (listing popular documents).

# Open Access Policy as core element of new research services environment

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We are able to situate the OA policy as a core element of a new focus on “Open” which includes, for example:

- University ORCID implementation
- Open and Affordable Textbook initiative
- Research Data Management outreach programs
- Creating workshops on research metrics
- Provide consulting services to faculty and research offices on open access generally (OA funds, credibility of publishers, managing data, APC/BPCs...much more

# Leveraging traditional and new library/librarian skills and expertise

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- Collection development/scholarly communication expertise
- Working with metrics with researchers; now creating repository metrics innovations
- Catalogers/metadata experts improving discoverability
- Liaisons work with faculty; trust is there; opportunity for engagement around OA policy
- Preservation and curation of content always a focus and mission of libraries
- Librarians in many institutions are faculty and work as reviewers, journal editors
- Subject specialists have deep and holistic knowledge of disciplinary literature
- Mainly, librarians have always endeavored to connect users to the most appropriate research materials. OA has always been a concern and interest of librarians. OA policy puts a continuing focus on the needs of users to have access to the content that they need.

# Some challenges in our current environment for implementation of OA policies

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- Working with publishers (or without them) and roadblocks that cause frustration such as waivers, high subscription prices while playing hardball on the self-archiving side, lengthy embargoes on the AM, vague information for authors (causing confusion), incorrect use of NISO JAV terms and author version confusion, poor customer service, little collaboration, only insistence that green OA causes harm.
- Growing importance of accuracy and sustainability of services such as SHERPA/RoMEO
- Self-archiving requiring change in behavior (faculty buy-in for green), and preference for the VoR. Faculty see no reason they can't do what they want with their own articles.
- The growing commercialization of the IR space
- Competing vehicles available to faculty for disseminating their work; faculty workload
- Complexity of copyright and CC environment for faculty

# What faculty and other researchers need and want

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- Open Access to their work; and/or to share their work widely with colleagues everywhere
- Funds to pay APCs/BPCs. If sufficient funding is not available, then they will either need or want to use a green OA option
- Support from the university in the quest for OA to their work      ccess to all the world's relevant and useful research literature and data (possibly requiring other researchers to have made their work OA
- Access to all the work of colleagues and peers at the university; DOIs for sharing that work

# What the university needs and wants

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- To have access, **at the institution**, to every product of research produced there (publications and data) in order to **showcase the** work of the institution via wide dissemination;
- To have access, at the institution, **for funder compliance** purposes to the products of research;
- **To be able to self-archive** versions of articles in the IR that are produced by the university's researchers using university, funder and taxpayer resources; to find publishers cooperative in collaboration
- Essentially, to **gather together the university's research output**, make it available online as quickly as possible for maximum **impact, visibility, discoverability**
- To be able to **demonstrate that impact** for different types of stakeholders

# Speculating on the future of OA policy in North America

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- **Institutional open data policies coming next?** (Need to point to assets for funder compliance);
- More universities needing to keep institutional research assets at the institution for impact and growing audit culture; increasing use of **CRIS; more OA policies;**
- More libraries moving to a **focus on the creation** as well as curation/preservation of article-level scholarship;
- **More chaos** in the self-archiving realm: more growth of preprint servers, scholarly networking sites in flux, more commercialization of services; researchers may turn more to institutional solutions for disseminating their work.
- Scholarly communication and OA work will take **center stage in library strategic plans,** and we will continue to experience “the inevitability of Open Access.”