Canada's new Open Access policy:

Integrating libraries into open scholarship

J. Burpee, R. Coughlan, D. Johnston, P. Moore & E. Yates -- OLA Superconference 2016

CC BY

Open Access policy:

Integrating libraries into open-scholarship

- OA & the Policy: 101
- Stakeholders & focused issues
- Academic Freedom & OA Policies
- Advocacy: approaches & challenges
- Practical steps, partnerships & strategies for the next level
- Wrap up & Discussion

The policy in 4 points

1. The Agencies (CIHR, SSHRC, NSERC) now have a harmonized ***Open Access Policy on Publications***
2. Funded researchers must make their **journal articles OA within 12 months** of publication
3. Funded researchers **must** publish in OA journals or archive their published articles in repositories.
4. Funded researchers **must acknowledge Agency contributions** quoting the funding reference number.

Rationales for open scholarship

- Improves efficiency of science
- Increases transparency and quality of research
- Addresses global challenges more effectively
- Promotes citizen engagement in science and research

OECD (2013) *Background paper for the TIP workshop on Open Science and Open Data*

The public has the right to read what they funded and the government wants to be credited and see value for the research that they fund.

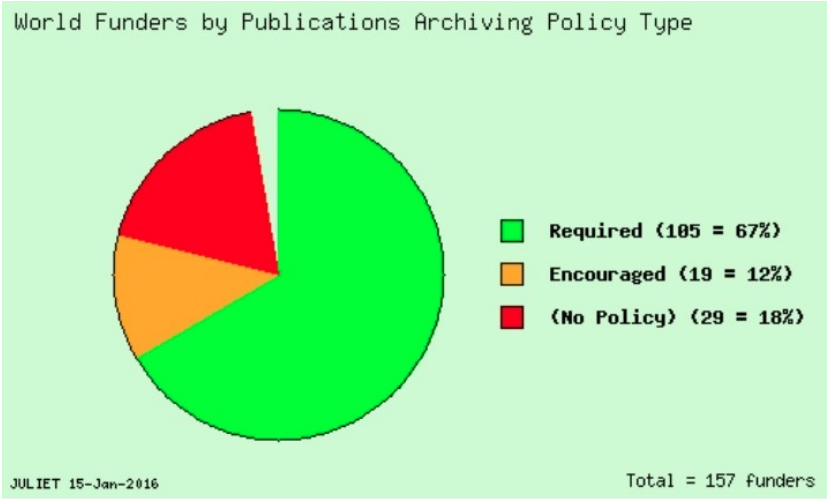
Joining other Canadian funders

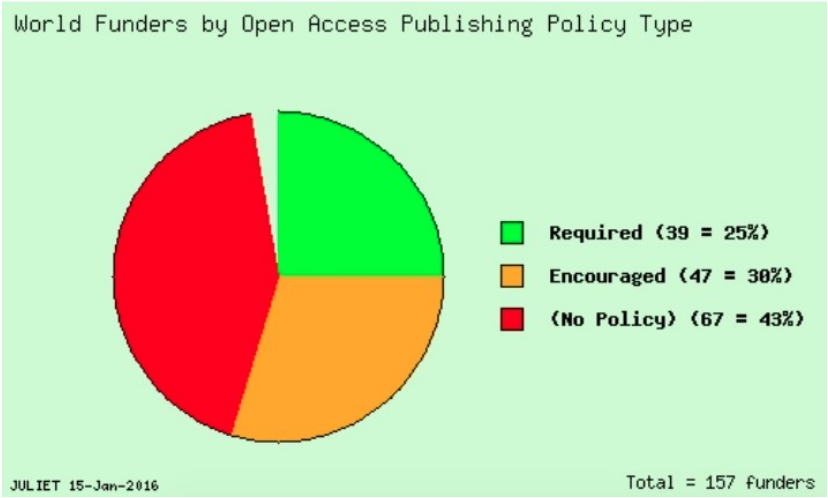
Sherpa Juliet: Research funders' open access policies

Click on the relevant column heading to re-sort by Country

Funding Organisation (*linked to their JULIET summary*)	Publications Policy: Open Access Publishing	Publications Policy: Open Access Archiving	Data Archiving Policy	Country
Alliance canadienne pour la recherche sur le cancer du sein (ACRCS) **see**: *Canadian Breast Cancer Research Alliance* (*CBCRA*)				Canada
Avon Foundation for Women		✓ ✓ —		Canada
Canadian Breast Cancer Research Alliance (CBCRA)	—	✓ ✓ —		Canada
Canadian Cancer Society (CCS)	✓	✓ — —		Canada
Canadian Foundation for Healthcare Improvement (CFHI)	✓	✓ ✓ —		Canada
Canadian Institutes of Health Research (CIHR)	✓	✓ ✓ —	✓ —	Canada
Fonds de la recherche en santé du Québec (FRSQ)		✓ — —		Canada
Genome Canada	—	✓ ✓ —	✓ —	Canada
Heart and Stroke Foundation of Canada (HSF)	✓	✓ — —	✓ —	Canada
Instituts de recherche en santé du Canada (IRSC) **see**: *Canadian Institutes of Health Research* (*CIHR*)				Canada
International Development Research Centre (IDRC)	✓	✓ — —		Canada
Michael Smith Foundation for Health Research (MSFHR)	—	✓ ✓ —	✓ —	Canada
National Research Council Canada (NRC)		✓ ✓ —		Canada
Natural Sciences and Engineering Research Council of Canada (NSERC)	✓	✓ ✓ —		Canada
Ontario Institute for Cancer Research (OICR)	—	✓ — —	✓ —	Canada
Prostate Cancer Canada	—	— — —		Canada
Social Sciences and Humanities Research Council (SSHRC)	✓	✓ ✓ —		Canada
Société canadienne du cancer (SCC) **see**: *Canadian Cancer Society* (*CCS*)				Canada

World Funders by Policy Type





Know who you are targeting & why distinguishing their issues is important

Administrators/Offices: Maximizing institution's visibility, prestige, etc.

Hiring and Promotion Committees: Transparency, Impact Metrics

Senior Faculty: Quality, Rankings, Readership, Altmetrics

Early Career Researchers: Citations, Costs, Quality

Students: Access after graduation, Costs, Ease of googling

Community (laypeople, professionals) : Taxes paid for it, Personal research, Professional Research, Opportunities for innovation

Make it resonate with something cared about

Canadian dollar will drop to 59 cents US in 2016, Macquarie forecasts

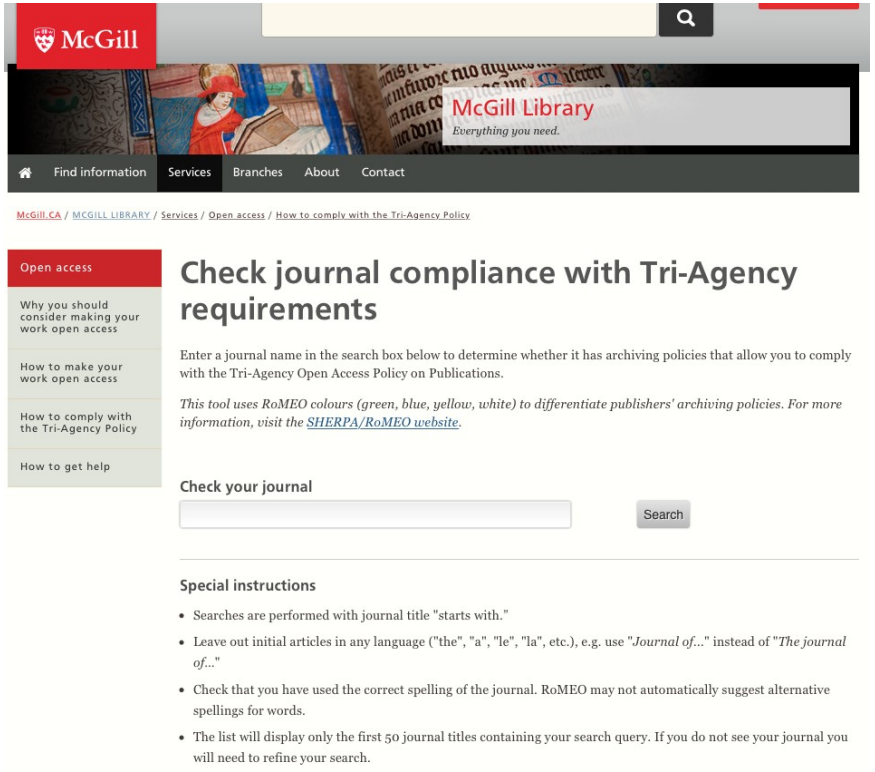
Investment bank says 2 rate cuts from central bank this year are also possible

By Pete Evans, CBC News Posted: Jan 13, 2016 10:10 AM ET | Last Updated: Jan 13, 2016 3:09 PM ET

A forecaster at an investment bank who correctly called a 69-cent US loonie now expects the Canadian dollar to sink as low as 59 cents this year. (Patrick Doyle/Bloomberg News)

One thing we have done at McGill

Created a tool using the API on Sherpa Romeo



OA Policies on Canadian campuses: Landscape

Individual institutions can implement OA policies for their researchers. While such policies are not uncommon in the US, there are relatively few in Canada.

15 Universities in Canada have some kind of policy listed in ROARMAP.

Many do not apply to faculty research

Most do not express this as a requirement

Encourage — Require

Requirements are unsurprisingly much more successful (15% deposit rate vs. 60%)*

HARVARD LIBRARY
Office for Scholarly Communication

Harvard style policies typically involve an automatic grant of rights to the institution for faculty articles.

Do Open Access policies remove barriers for consumers only to create them for authors?

Institutional Level OA Policies and Academic Freedom

OA Policies on Canadian campuses: Motivations

University of Windsor

The University of Windsor Open Access Policy requires local collection of Tri-Agency OA content & Strongly Encourages all others to submit.

Ensure systematic collection and responsibility for Windsor OA content

Providing a stable infrastructure for OA content.

Simplify the process for faculty provide ‘perks’ stemming from our repository

Work with research services to ensure compliance

Maintain standards for metadata, preservation, access, and usage data

OA Policies on Canadian campuses: Academic Freedom

Investigation launched into U of Calgary academic freedom controversy

Academic freedom is a hot topic in Canadian universities.

While individuals may interpret it more narrowly or broadly, at its core it is:

*"(a) the freedom to pursue truth wherever that may lead (b) tenure so that the truth-seeker is not subject to loss of job when the research is controversial, (c) the ability of the scholar to be critical of the university, (d) the ability of the scholar to participate in public life, and (e) co-governance within the university."**

OA Policies on Canadian campuses: Academic Freedom

Faculty are concerned about encroaching managerial control over academic life on university campuses.

*"The authority of the professors to determine the direction of the university, to develop the curriculum, and ultimately to maintain full control in the classroom and in the selection and implementation of research topics is compromised by this trend."**

Open Access policies are thus being introduced into a difficult political climate

Academic freedom is ultimately an issue of the language of collective agreements.

OA Policies on Canadian campuses: Solutions

The number one issue for most researchers is whether a policy will threaten their ability to publish in their preferred journal. In the majority of cases this is not an issue.

There is an important difference between the publication of a work (academic freedom) and OA archiving of a previously published work (~academic freedom).

From an institutional level, Windsor's policy does not restrict researchers from sharing their work in any other OA venue they wish. They must _at minimum_ deposit to our IR.

OA Policies on Canadian campuses: Challenges

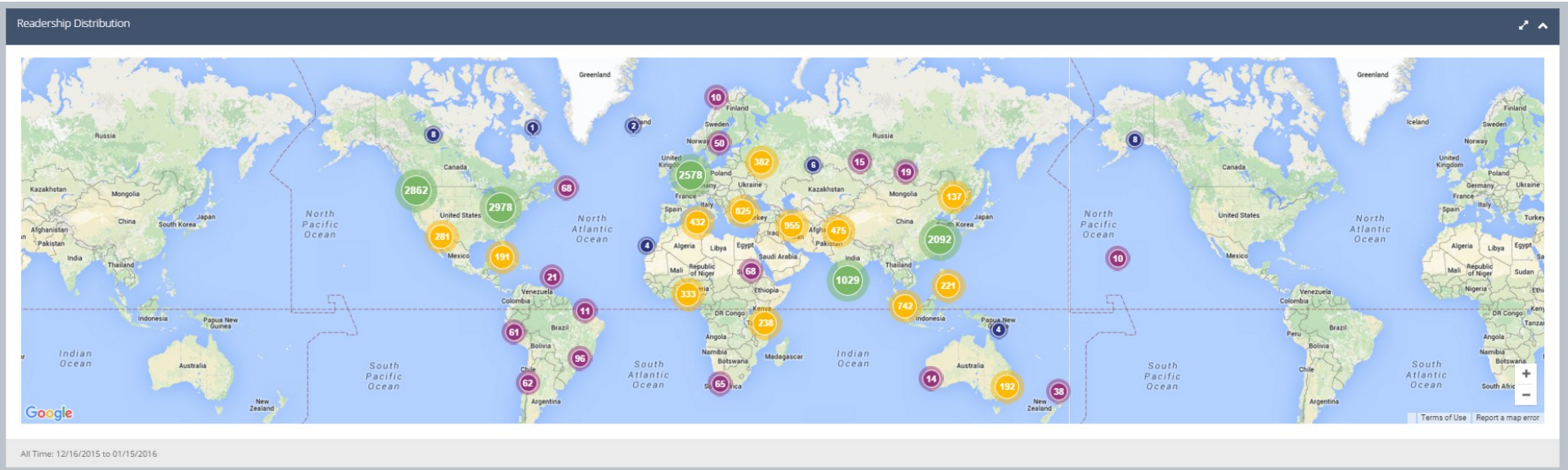
The Windsor policy is a compromise, but a necessary one.

We did make some significant gains in terms of ensuring local IR collection

We discovered more allies

We don’t believe the door is closed for future changes.

Digital Commons Author Dashboard



14443 Institutions

Filter by type: Commercial

Show 10 entries Search: Export

Name	Type	Downloads
Ford Motor Company	Commercial	178
General Motors Corporation	Commercial	119
Univer	Commercial	91

208 Countries

Show 10 entries Search:

Country	
United States	
Canada	34878
China	18586
India	17007

skype
P. Moore
1:07:38

Advocacy: approaches and challenges

Image: Three Sisters Rocky Mountains, Bhasker Garudadri|garudadri.org

Costs: (mis)perceptions

OA = high APCs

“Vanity” publishing

Grant funds? No way!

Created by gira Park
from Noun Project

Costs: advocacy

No APCs in most OA journals

Publishing is not free; APCs are just one business model

Financial support from libraries/institutions

Build APCs into grant budgets

Peer review: (mis)perceptions

OA = no peer review

OA = low quality

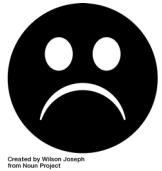
Peer review: advocacy

Workflow differs from dissemination

All journals have problems, not just OA

Take responsibility!

Prestige: (mis)perceptions



no Impact Factor

not valued in P&T

Prestige: advocacy

Faculty control P&T > reform it!

IF is broken; OA has ***real*** impact:

higher citations

broader social and geographic impact

Predatory publishing

Created by Richard Cordero
from Noun Project

faculty's biggest fear!

@ 8,000 predatory journals; mostly based in India and elsewhere in Asia

est. size of market $74M USD

are faculty duped … or complicit?

Source: 'Predatory' open access: a longitudinal study of article volumes and market characteristics

Stay out of the pulpit ...

converse

question

discuss

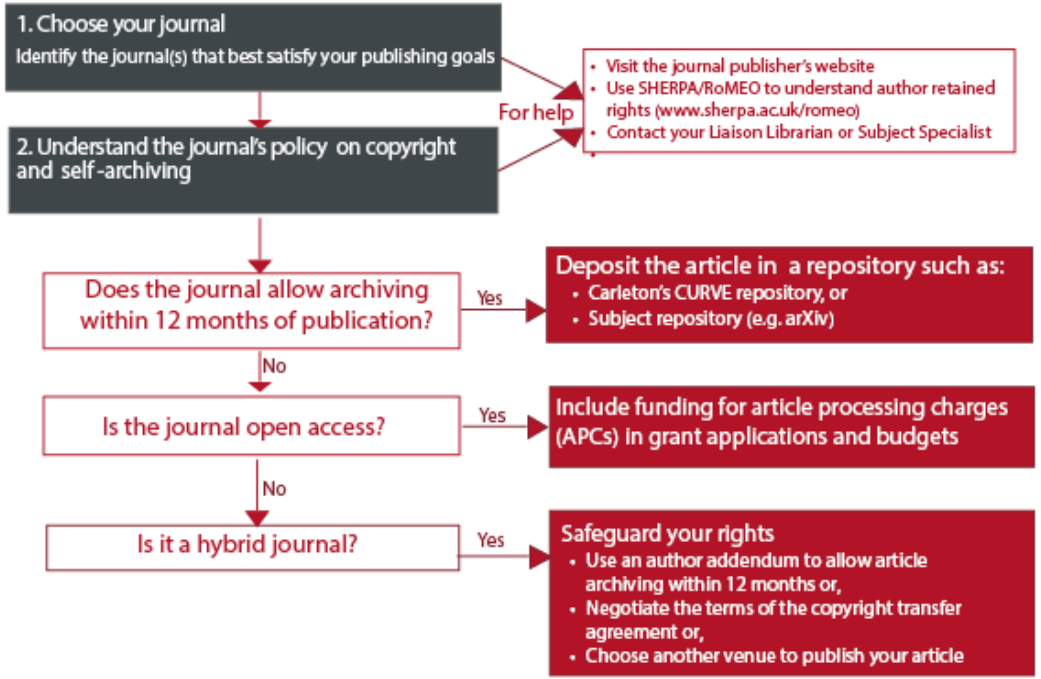
Image: DC Comics. http://www.theguardian.com/tv-and-radio/tvandradioblog/2014/feb/07/preacher-ultimate-comic-book-tv-adaptation

Practical Steps = How is the library going to help me?

Faculty wear many hats

- As authors
- As supervisors
- As editors
- As publishers

Open Access options



Series of decisions, based on individual contexts and goals

(Carleton University Library, adapted from SFU)

Discovering OA venues

Journals/ Publishers

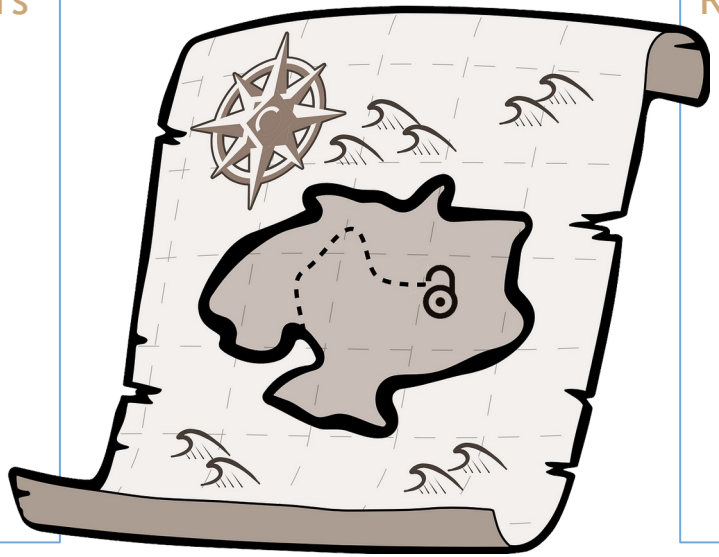
- DOAJ
- Sherpa Romeo
- Beall's List

Funders

Sherpa/Juliet

ROARMAP

PLoS List



Repositories

CORE (Connecting Repositories - UK)

OpenDOAR

Confederation of Open Access Repositories (COAR)

Registry of Open Access Repositories

Understanding compliance(s) - the version issue

Tri-Council requirements

- final version (post-peer review, after final edits)

License/author agreement

- versions
  - pre-prints
  - post-prints
  - formatted final
- embargoes

Special considerations
Version indicator
Credit - statement
Link backs

License and negotiations

Articulating the central goal

- this journal
- this article
- immediate
- cost

Choosing the battle

Utilizing CARL/SPARC addendum

Negotiation with publishers

Picasso. “Donquixote". via Wikipedia

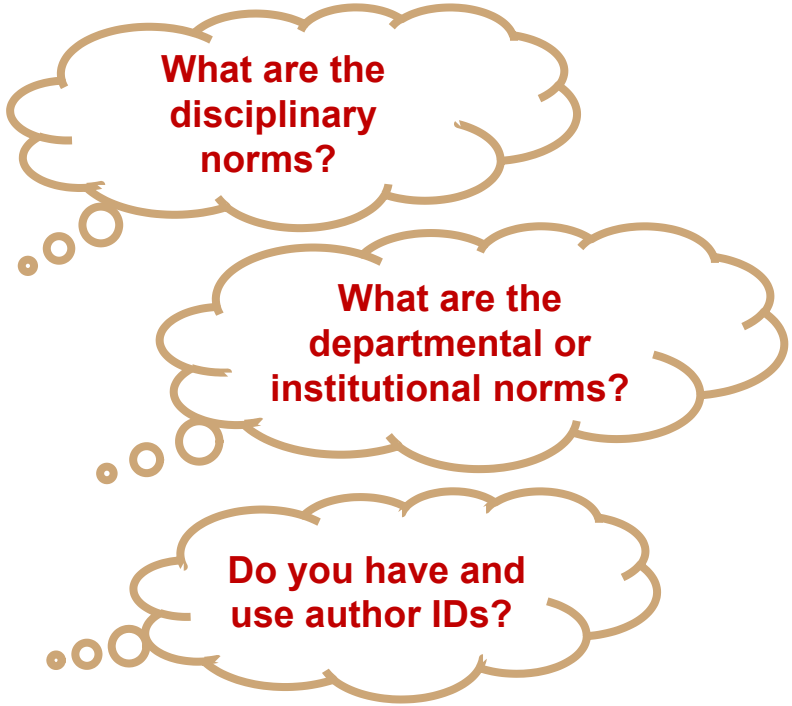
Impact, value, and metrics - considerations

Traditional measures

- impact factor (journal level)
- h-index
- eigenfactor
- citation rates (journal/article)

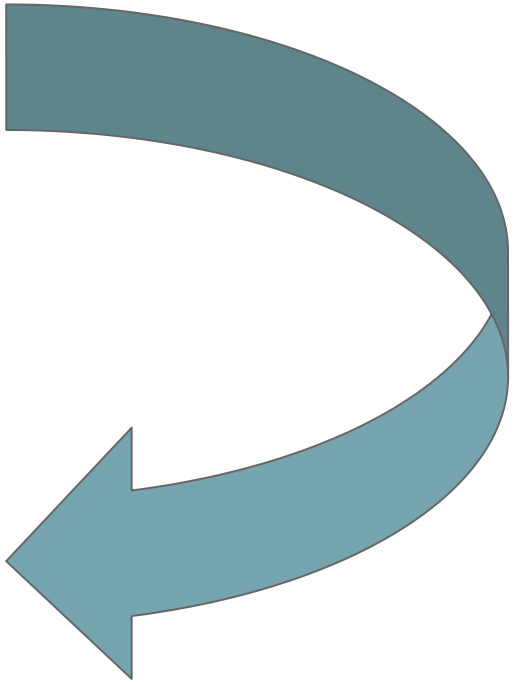
Altmetrics

Authoritative lists



Help for Journal Editors

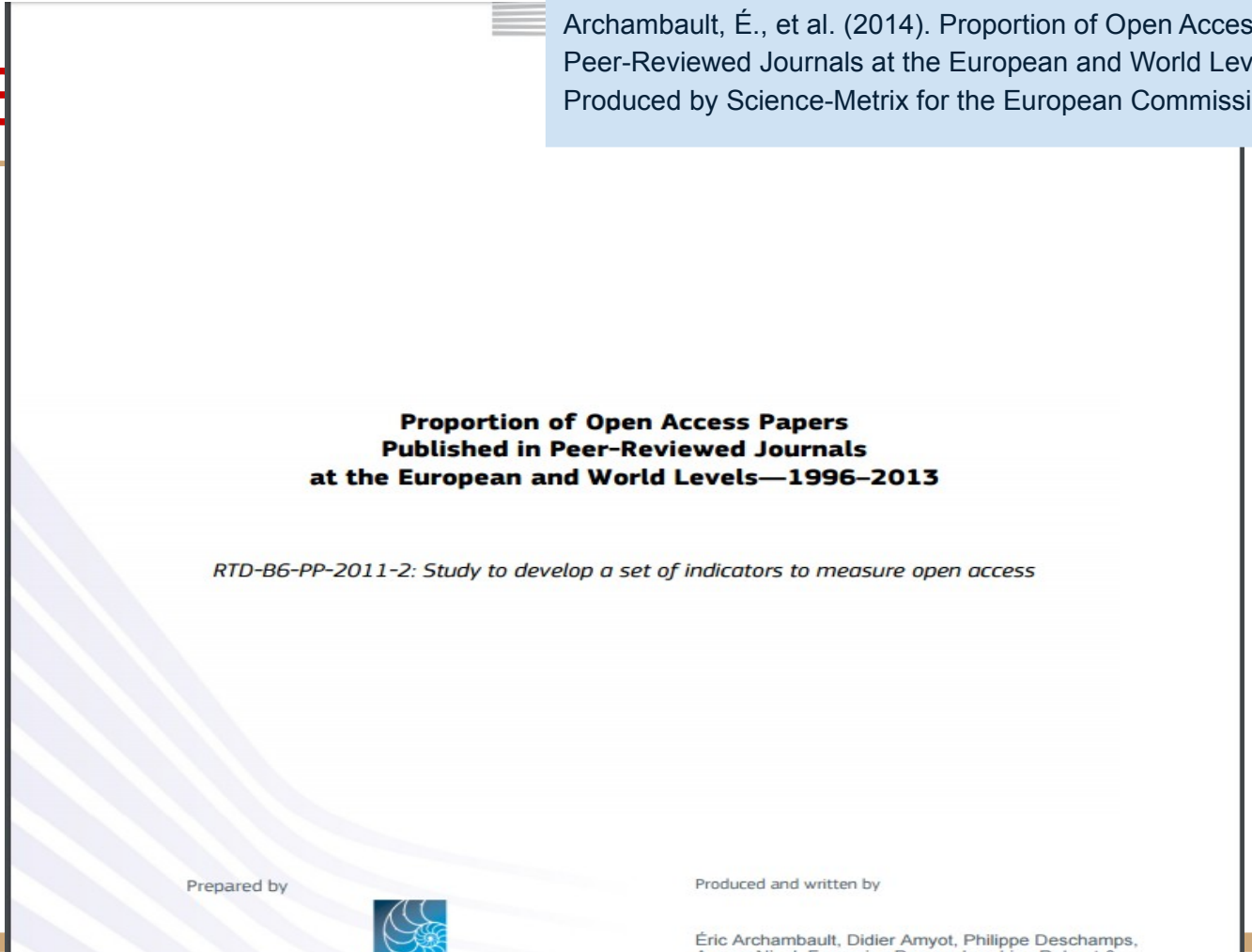
- Utilizing similar tools
- Process review and policy development
- Negotiation with publishers
- Managing backfiles - retrospectively open
- Making it available
  - indexing
  - standard numbers
- Making it count



Building partnerships to get to the next level

Free availability of OA research: the

Archambault, É., et al. (2014). Proportion of Open Access Papers Published in Peer-Reviewed Journals at the European and World Levels—1996–2013. Produced by Science-Metrix for the European Commission.



Free availability of OA research: the state of play...

Is there a citation advantage? Yes.

- Average citation advantage of OA papers is 40.3%

What is the proportion of OA papers?

- April 2014 - 50% of scientific papers published in 2007, 2008, 2009, 2010, 2011, and 2012 can be downloaded for free

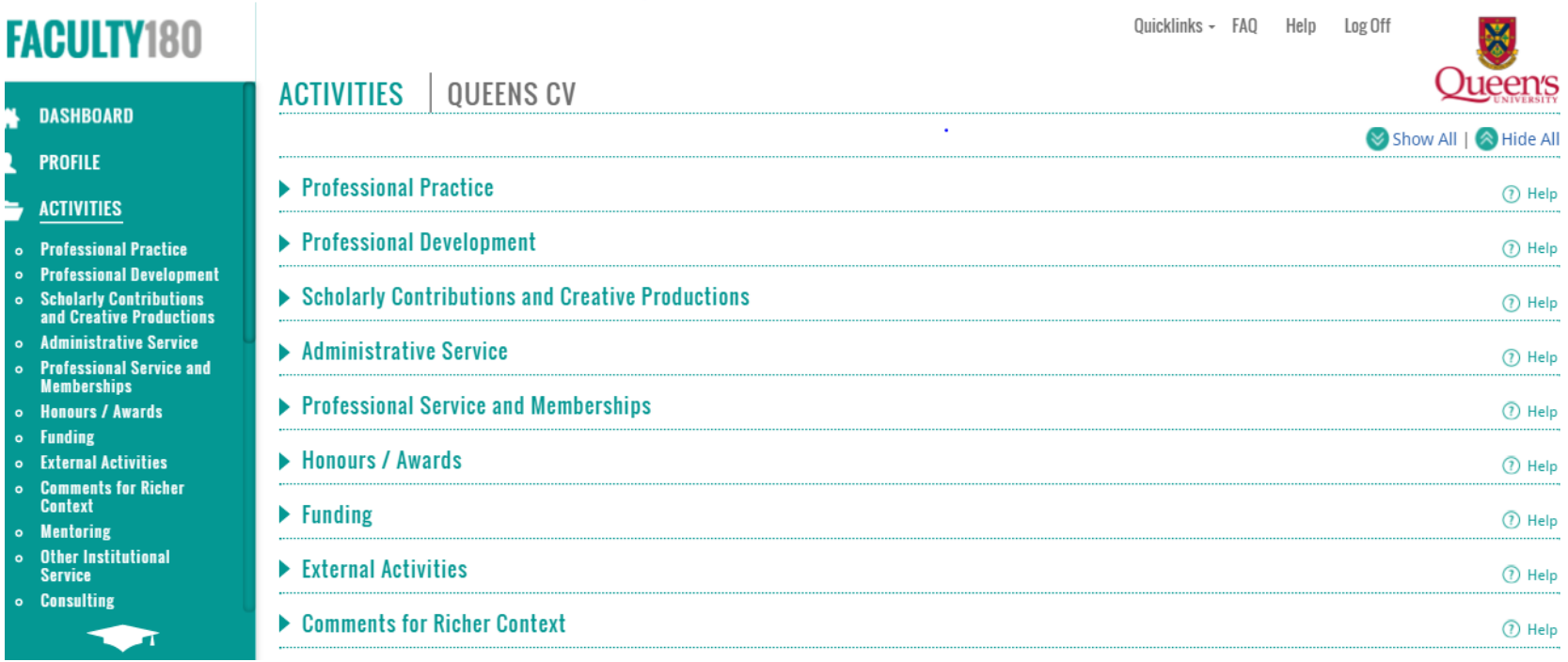
Gold vs. Green OA?

- **Gold OA:** papers (indexed in Scopus) grew exponentially up until 2012 - growth rate - 24% per year between 1996 and 2012
- **Green OA:** regular increase of 8.4% per year, 1996 to 2009, after which the increase slows down and drops in 2013 (effect of embargos surpasses the growth in available papers)
- *Those deposited in institutional repositories, do not contribute a large share of the overall OA stock of papers.*

Enabling FREE Green OA Through the Grant Life-Cycle - Challenges

1. How do we **know about new publications** so that support & dialogue to minimise burden of effort for free deposit can happen?
2. How do we encourage **researchers to save/store** the correct version for ‘free’ compliance (in many cases) i.e. the Accepted Author Manuscript?

Integrating the CV & Publications Repository at Queen's



Process Integration - Rationale

Researchers will already input publications citation info into Vitae Repository for Annual Reports, CCCV etc.

- This information is also needed for the Institutional repository.

The best bit…(and perhaps the most difficult..)

- If researchers *got into the habit / were encouraged/ or required* to update their CV in the Vitae Repository each time they have had an article accepted by publisher for publication…

Sustainable Policy Compliance

Author/PI

Peer Review

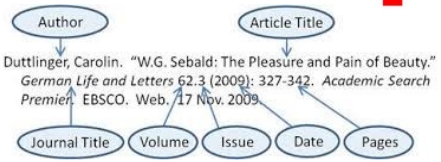
Publishers

Accepted for Publication but **NOT typeset or branded** by publisher

© Author

Vitae Repository

© Author



QSpace
Queen's Research & Learning Repository

Sustainable Policy Compliance

Author/PI

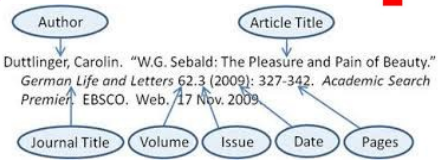
Peer Review

Publishers

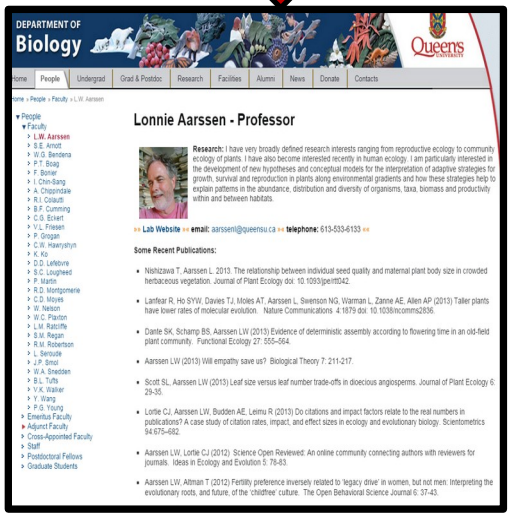
Accepted for Publication but NOT typeset or branded by publisher

© Author

Vitae Repository



QSpace
Queen's Research & Learning Repository



Sustainable Policy Compliance

Author/PI

Peer Review

Publishers

✓ Accepted for Publication but **NOT typeset or branded** by publisher

© Author

Vitae Repository

Author / Representative

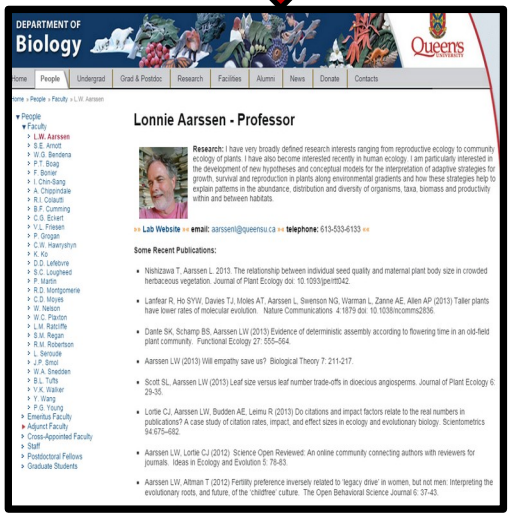
Author

Article Title

Duttlinger, Carolin. "W.G. Sebald: The Pleasure and Pain of Beauty." *German Life and Letters* 62.3 (2009): 327-342. *Academic Search Premier*. EBSCO. Web. 17 Nov. 2009.

Journal Title | Volume | Issue | Date | Pages

QSpace
Queen's Research & Learning Repository



Sustainable Policy Compliance

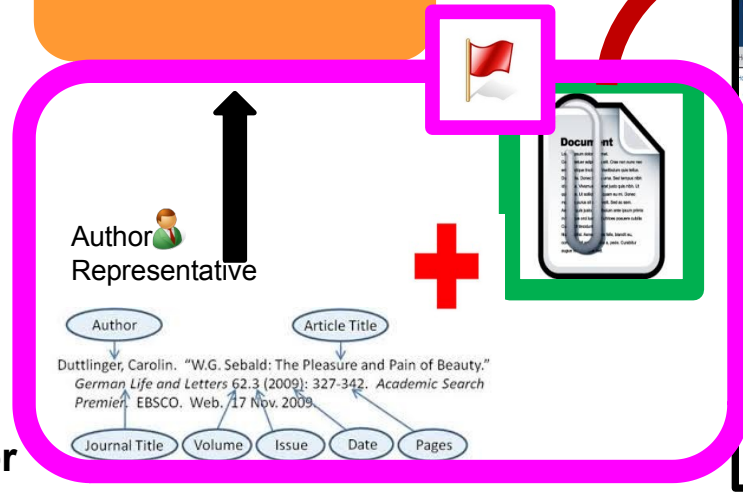
Author/PI

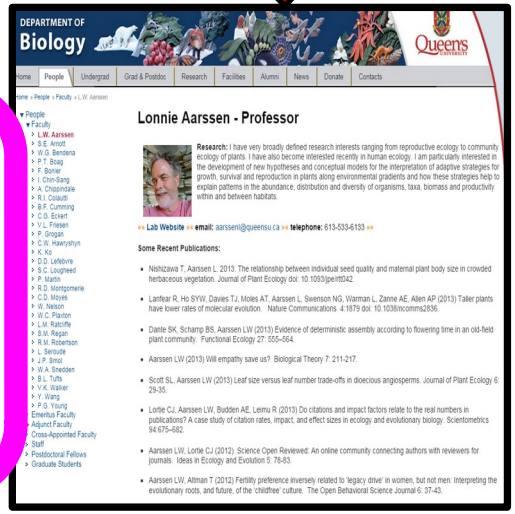
Publishers

✓ **Accepted for Publication but NOT typeset or branded by publisher**

© **Author**

Vitae Repository





Sustainable Policy Compliance

Author/PI

Peer Review

Publishers

✓ **Accepted for Publication but NOT typeset or branded by publisher**

© Author

Vitae Repository

Author / Representative

Author
Article Title
Dutlinger, Carolin. "W.G. Sebald: The Pleasure and Pain of Beauty." *German Life and Letters* 62.3 (2009): 327-342. *Academic Search Premier*. EBSCO. Web. 17 Nov. 2009.
Journal Title
Volume
Issue
Date
Pages

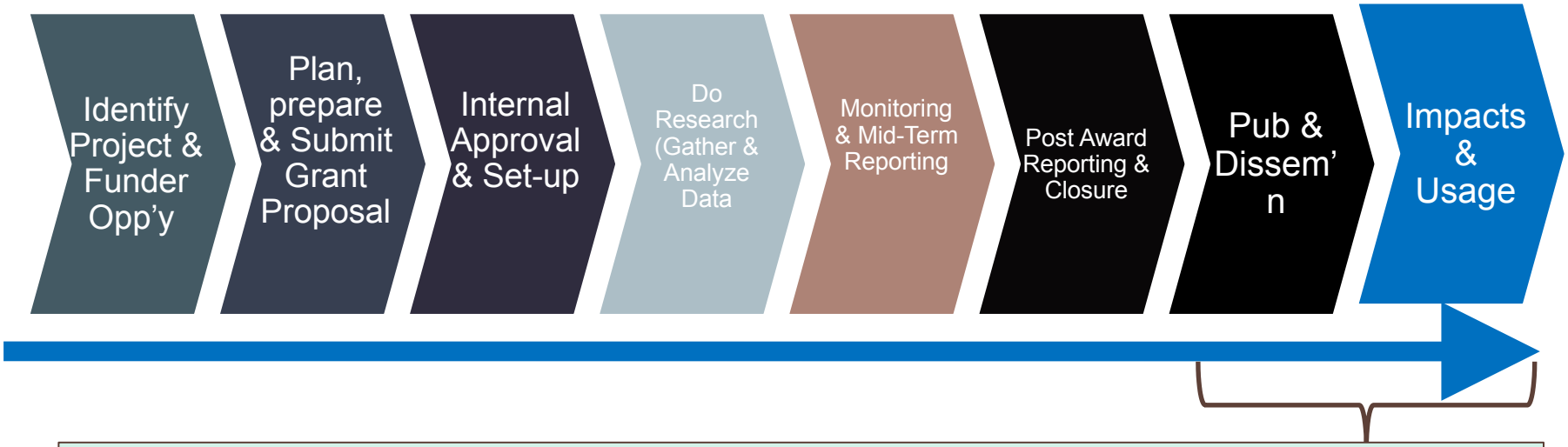
arXiv.org

SSRN tomorrow's research today

QSpace Queen's Research & Learning Repository

Plus usage metrics & link to data

Incentivise



- Impact **on subsequent funding applications…**
- Reporting - work with departmental Research Coordinators / grant teams **to provide custom metrics / usage data (where appropriate)** for proposals, min & end of grant reports & final published open access articles
- **Encourage authors to link their publications to grants – proof of compliance.**

Pre-requisites for Success

- Partnerships - research office, ITS, graduate studies & others
  - Establish common goals and priorities
- Commitment - within the University Library & across campus
  - Resources, expertise
- Communication - clear, top-down and bottom-up
  - Consistent, open and tactical.

Conclusions

Compliance: Cause & Effect Relation

The message + the recipient:

- Consistent & clear information and support on: open access options, versions, venues, metrics, grant $, licensing etc.
- Multi-various / tailored and responsive approaches: one size does not fit all.

Processes & practices:

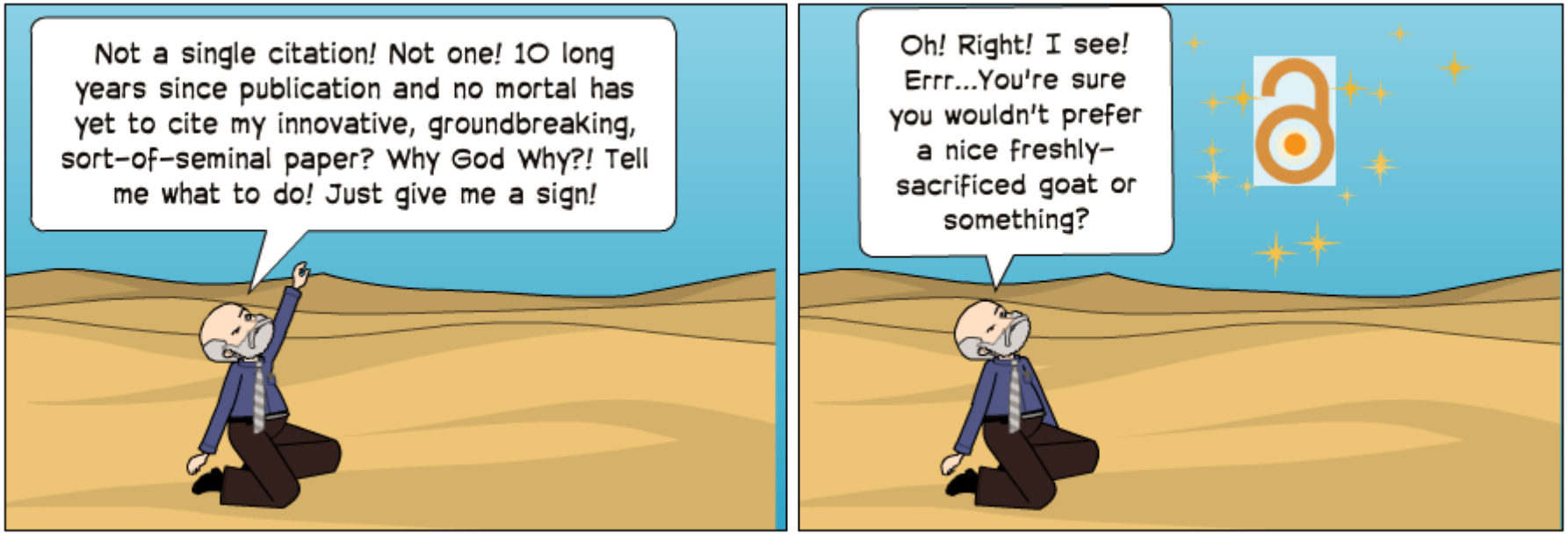
- Easy processes - Integrated systems, information exchange.

Benefits + incentives:

- Respect academic freedom and collective bargaining terms
- Incentives & motivations: both institutional (policy-driven) and personal (ability to determine appropriate publication venue), evidenced impact on research dissemination.

Open Access

by Alice Dilmaka



Recommendations

- Need to work towards a sustainable model for scholarly publishing, that:
  - Is equitable & (less vulnerable to market forces eg “Big Deals” priced primarily in USD)
  - Is driven by researchers/creators, funding bodies, and all those involved in knowledge dissemination.
- Requires:
  - Collaboration between libraries (CRKN / CARL) publishers / funders - all stakeholders
  - Viable & attractive alternative publishing systems
  - Vision, partnerships and persistence…& resources.
- Is underpinned by consistent information sharing & engagement with everyone - perhaps most of all the research community (at all stages of the research process and career) in shaping the future scholarly publishing ecosystem.

Presentation team

K. Jane Burpee, Coordinator, Data Curation & Scholarly Communications, McGill University
(jane.burpee@mcgill.ca)

Rosarie Coughlan, Scholarly Publishing Librarian, Queen's University
(rosarie.coughlan@queensu.ca)

David Johnston, Scholarly Communications Coordinator, University of Windsor
(djohnst@uwindsor.ca)

Patricia Moore, Systems Librarian - Digital Projects and Technologies, Carleton University
(pat.moore@carleton.ca)

Elizabeth Yates, Head Liaison Services (Acting)/Scholarly Communications Librarian, Brock University
(eyates@brocku.ca)

Thank You!

Questions?