

# Canada's new Open Access policy:

Integrating  
libraries into open  
scholarship



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

# 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.



# Rational es for open scholars hip

- 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.



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

Joining  
other  
Canadian  
n  
funders

# World Funders by Policy Type

World Funders by Publications Archiving Policy Type



JULIET 15-Jan-2016

Total = 157 funders

World Funders by Open Access Publishing Policy Type



JULIET 15-Jan-2016

Total = 157 funders

# 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

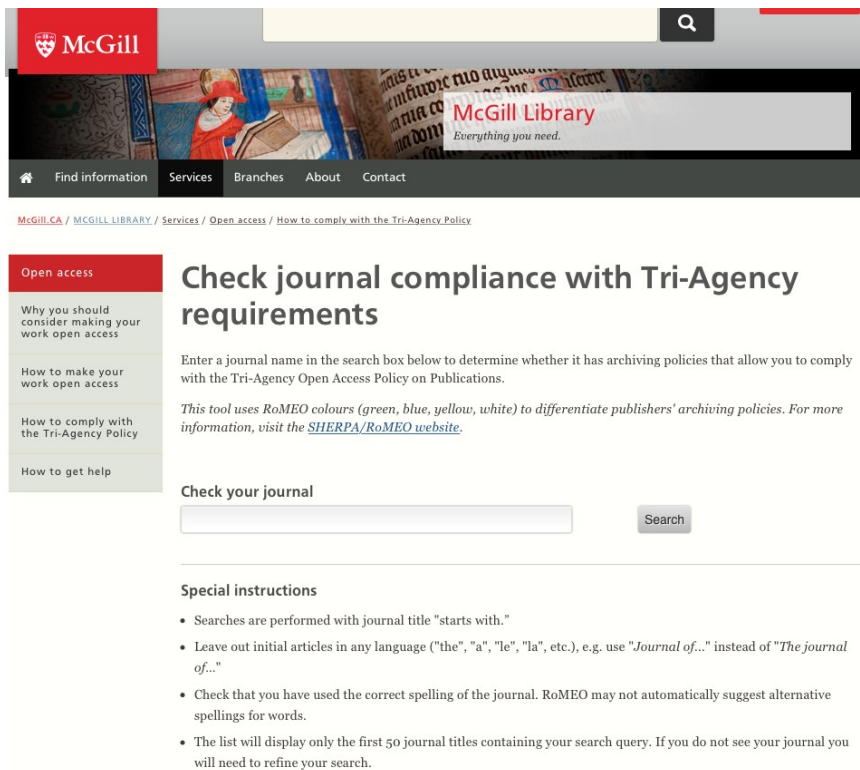


A forecaster at an investment bank who correctly called a 69-cent US loonie now expects the Canadian dollar to sink as low as 59 cents this year. (Patrick Doyle/Bloomberg News)



# One thing we have done at McGill

Created a tool using the  
API on Sherpa Romeo



The screenshot shows the McGill Library website. The header includes the McGill logo and a search bar. Below the header is a navigation bar with links: Find information, Services, Branches, About, and Contact. A breadcrumb trail reads: McGill.CA / MCGILL LIBRARY / Services / Open access / How to comply with the Tri-Agency Policy.

The main content area is titled "Check journal compliance with Tri-Agency requirements". It includes a search box for entering a journal name and a "Search" button. Below the search box is a section for "Special instructions" with a list of guidelines for using the tool.

On the left side of the page, there is a sidebar with the heading "Open access" and four links: "Why you should consider making your work open access", "How to make your work open access", "How to comply with the Tri-Agency Policy", and "How to get help".

**Check journal compliance with Tri-Agency requirements**

Enter a journal name in the search box below to determine whether it has archiving policies that allow you to comply with the Tri-Agency Open Access Policy on Publications.

*This tool uses RoMEO colours (green, blue, yellow, white) to differentiate publishers' archiving policies. For more information, visit the [SHERPA/RoMEO website](#).*

**Check your journal**

**Special instructions**

- Searches are performed with journal title "starts with."
- Leave out initial articles in any language ("the", "a", "le", "la", etc.), e.g. use "Journal of..." instead of "The journal of..."
- Check that you have used the correct spelling of the journal. RoMEO may not automatically suggest alternative spellings for words.
- The list will display only the first 50 journal titles containing your search query. If you do not see your journal you will need to refine your search.



# 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.

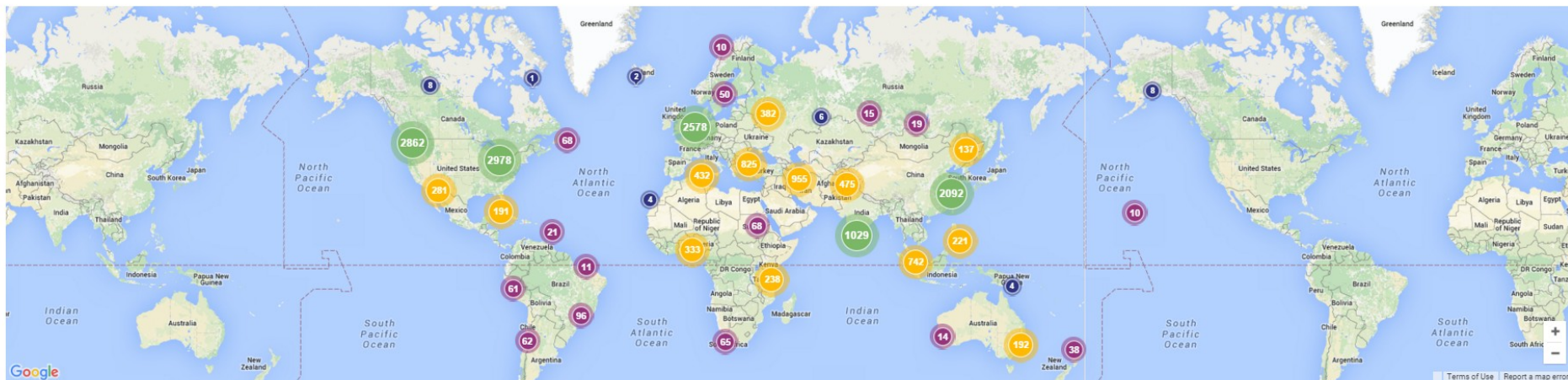
We did make some significant gains in terms of ensuring local IR collection

We discovered more allies

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



## Engineering & Construction / Architecture



All Time: 12/16/2015 to 01/15/2016

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:

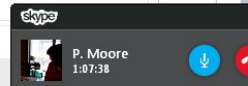
Country

- ▶ United States
- ▶ Canada
- ▶ China
- ▶ India

34878

18586

17007



# Advocacy: approaches and challenges

COST

PEER  
REVIEW

PRESTI  
GE





# 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



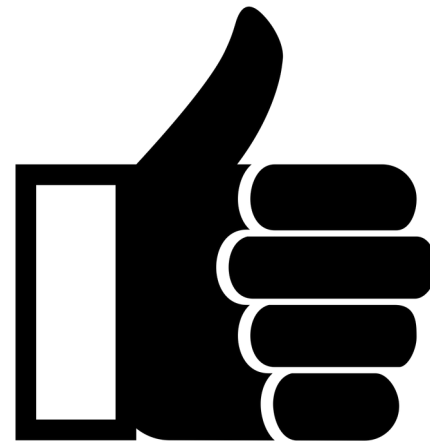


# Peer review: advocacy

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>

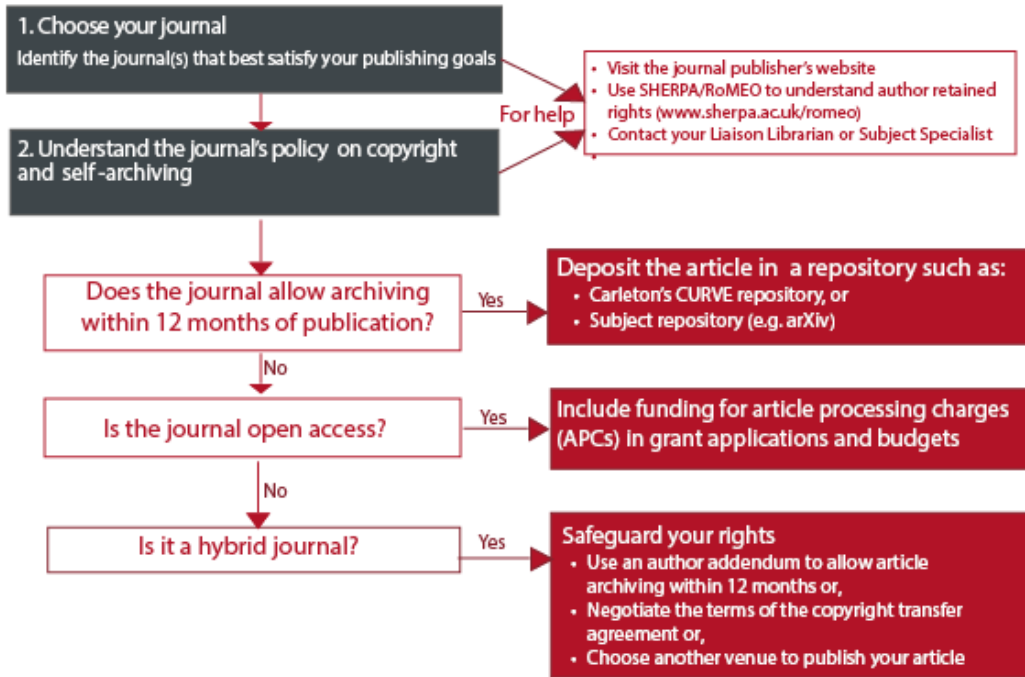
# Practical Steps = How is the library going to help me?



## Faculty wear many hats

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

# Open Access options



Series of decisions,  
based on individual  
contexts and goals

# Discovering OA venues

## Journals/ Publishers

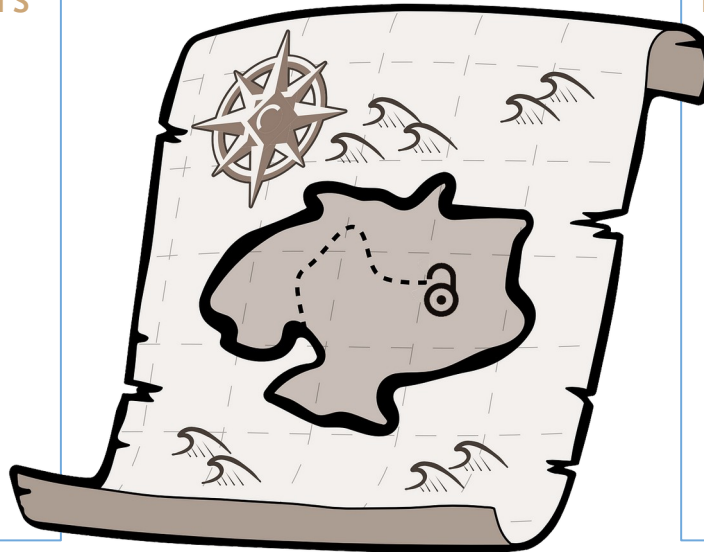
- DOAJ
- Sherpa Romeo
- Beall's List

## 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

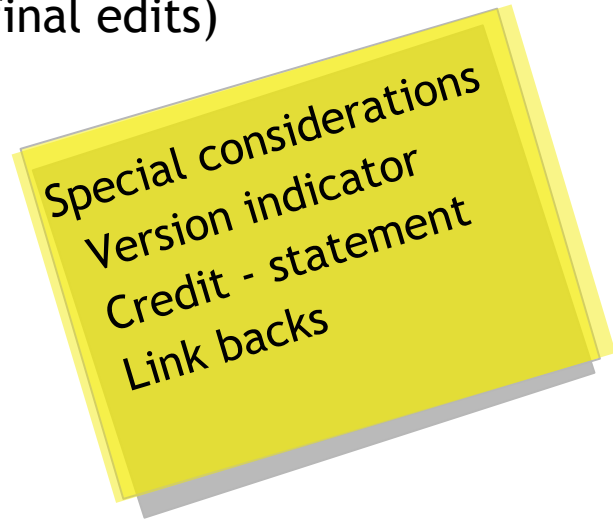
versions

pre-prints

post-prints

formatted final

embargoes



# 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

**What are the disciplinary norms?**

**What are the departmental or institutional norms?**

**Do you have and use author IDs?**





# Help for Journal Editors

Utilizing similar tools

Process review and policy development

Negotiation with publishers

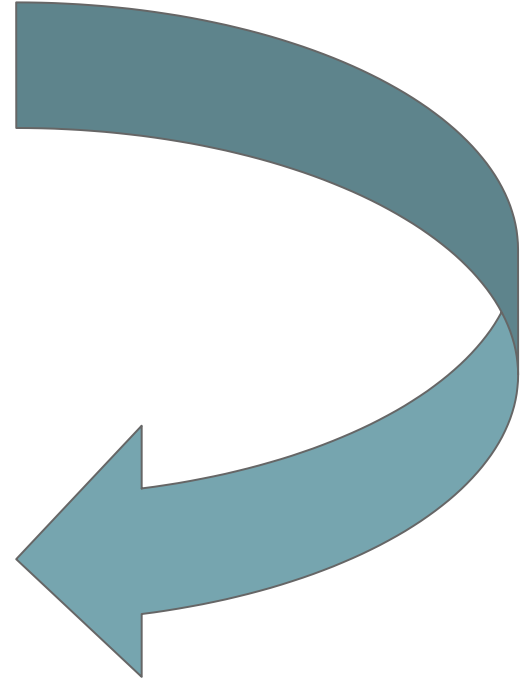
Managing backfiles - retrospectively open

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.

## **Proportion of Open Access Papers Published in Peer-Reviewed Journals at the European and World Levels—1996–2013**

*RTD-B6-PP-2011-2: Study to develop a set of indicators to measure open access*

Prepared by



Produced and written by

Éric Archambault, Didier Amyot, Philippe Deschamps,



# 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

FACULTY180

DASHBOARD

PROFILE

ACTIVITIES

- Professional Practice
- Professional Development
- Scholarly Contributions and Creative Productions
- Administrative Service
- Professional Service and Memberships
- Honours / Awards
- Funding
- External Activities
- Comments for Richer Context
- Mentoring
- Other Institutional Service
- Consulting



Quicklinks - FAQ Help Log Off



ACTIVITIES | QUEENS CV

Show All | Hide All

- ▶ Professional Practice [Help](#)
- ▶ Professional Development [Help](#)
- ▶ Scholarly Contributions and Creative Productions [Help](#)
- ▶ Administrative Service [Help](#)
- ▶ Professional Service and Memberships [Help](#)
- ▶ Honours / Awards [Help](#)
- ▶ Funding [Help](#)
- ▶ External Activities [Help](#)
- ▶ Comments for Richer Context [Help](#)

# 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



Publishers



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



© Author

Vitae Repository



© Author



DEPARTMENT OF  
**Biology**

Home People Undergrad Grad & Postdoc Research Facilities Alumni News Donate Contacts

People  
Faculty

▼ People  
 > L.W. Aarssen  
 > S.E. Arnold  
 > W.D. Senterre  
 > P.T. Baag  
 > P. Borer  
 > I. Chivers  
 > A. Chagnon  
 > R.L. Colwell  
 > B.F. Cumming  
 > C.D. Evans  
 > V.L. Friesen  
 > P. Grogan  
 > C.M. Hargreaves  
 > K. K.  
 > C.D. Lohr  
 > S.C. Lougheed  
 > P. Martin  
 > R.D. Montgomery  
 > C.D. Moore  
 > W. Nelson  
 > W.C. Patten  
 > L.M. Rappin  
 > S.M. Regan  
 > R.M. Rowland  
 > L. Senneker  
 > J.P. Smith  
 > V.A. Steadman  
 > B.L. Telfer  
 > V.K. Walker  
 > Y. Wang  
 > P.D. Young  
 > Emeritus Faculty  
 > Adjunct Faculty  
 > Cross-appointed Faculty  
 > Staff  
 > Postdoctoral Fellows  
 > Graduate Students

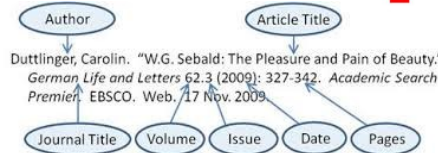
Lonnie Aarssen - Professor

Research: I have very broadly defined research interests ranging from reproductive ecology to community ecology of plants. I have also become interested recently in human ecology. I am particularly interested in the development of new hypotheses and conceptual models for the interpretation of adaptive strategies for growth, survival and reproduction in plants along environmental gradients and how these strategies help to explain patterns in the abundance, distribution and diversity of organisms, taxa, biomass and productivity within and between habitats.

Lab Website email: [aaarssen@queensu.ca](mailto:aaarssen@queensu.ca) telephone: 615-535-6133

Some Recent Publications:

- Nishizawa T, Aarssen L. 2013. The relationship between individual seed quality and maternal plant body size in crowded herbaceous vegetation. *Journal of Plant Ecology* doi: 10.1093/jpe/ert042.
- Lankau R, Ho SYW, Davies TJ, Miles AT, Aarssen L, Swenson NG, Wortman L, Zanne AE, Allen AP (2013) Taller plants have lower rates of molecular evolution. *Nature Communications* 4: 1879 doi: 10.1038/ncomms2806
- Danks SK, Schamp BS, Aarssen LW (2013) Evidence of deterministic assembly according to flowering time in an old-field plant community. *Functional Ecology* 27: 555-564
- Aarssen LW (2013) Will empathy save us? *Biological Theory* 7: 211-217.
- Scott SL, Aarssen LW (2013) Leaf size versus leaf number trade-offs in dioecious angiosperms. *Journal of Plant Ecology* 6: 29-35.
- Lortie CJ, Aarssen LW, Budden AE, Lemu R (2013) Do citations and impact factors relate to the real numbers in publications? A case study of citation rates, impact, and effect sizes in ecology and evolutionary biology. *Scientometrics* 94:675-682.
- Aarssen LW, Lortie CJ (2012) Science Open Reviewed: An online community connecting authors with reviewers for journals. *Ideas in Ecology and Evolution* 5: 78-83.
- Aarssen LW, Altmann T (2012) Fertility preference inversely related to 'legacy olive' in women, but not men: Interpreting the evolutionary roots, and future, of the 'childfree' culture. *The Open Behavioral Science Journal* 6: 37-43.







# Sustainable Policy Compliance



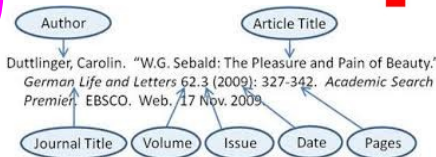
Publishers



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



Author



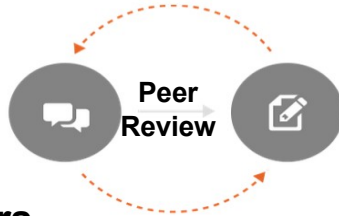
# Sustainable Policy Compliance



Publishers



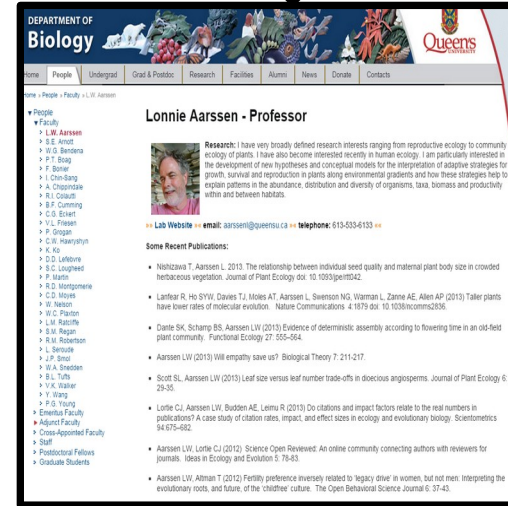
Accepted for  
Publication but  
**NOT typeset or  
branded by  
publisher**



© Author



Author / Representative



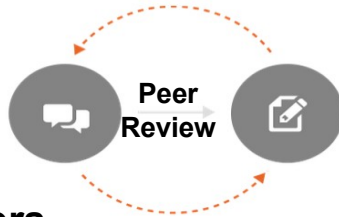
# Sustainable Policy Compliance



Publishers



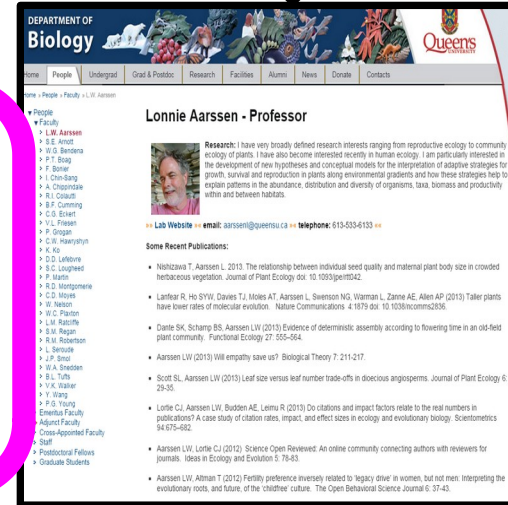
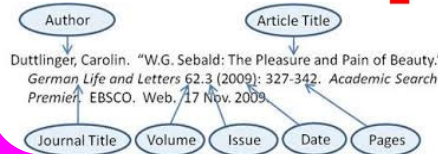
Accepted for  
Publication but  
**NOT typeset or  
branded by  
publisher**

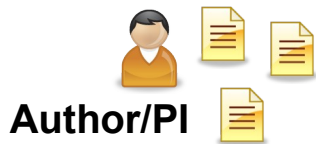


© Author



Author Representative





Author/PI

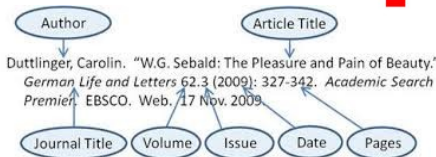
# Sustainable Policy Communication



Publishers



Author / Representative



Accepted for Publication but NOT typeset or branded by publisher

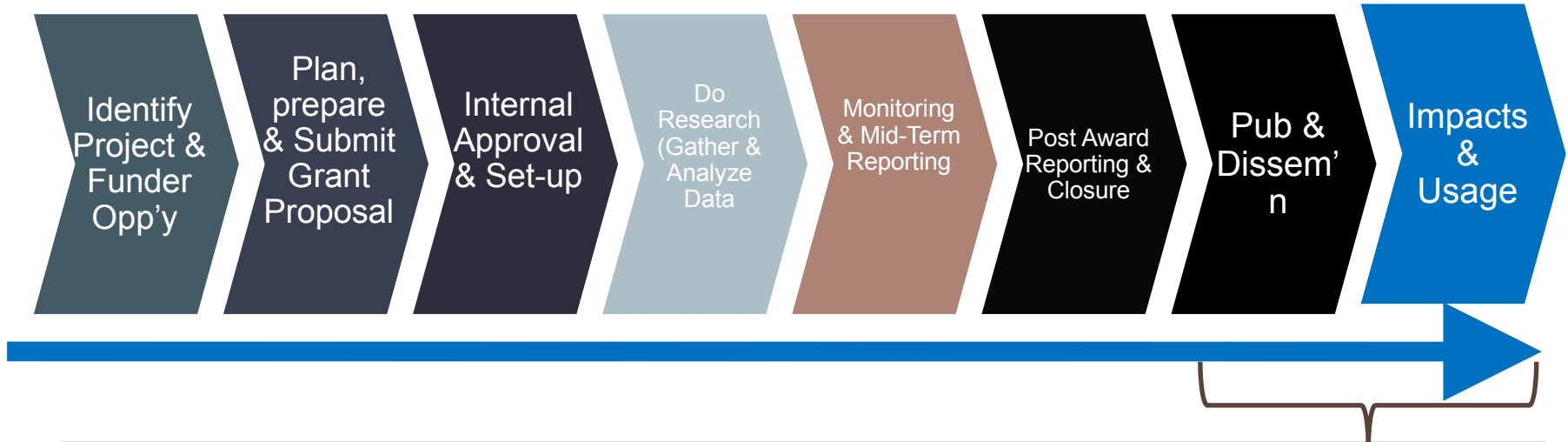


© Author



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.



# Conclusion

S



---

# 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.

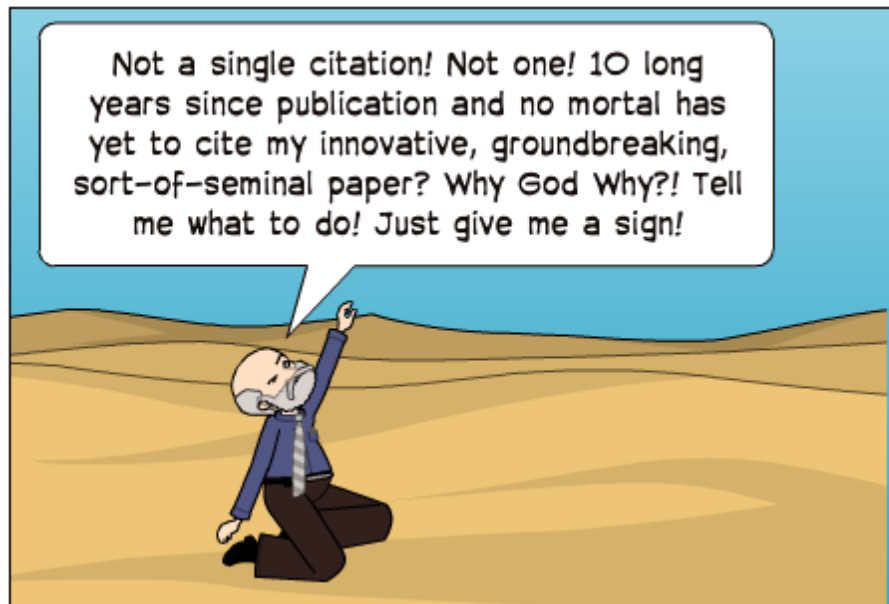
## Benefits + incentives:

- 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



© 2015 PIXTON.COM

# 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?

