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