

University of San Diego

Digital USD

Digital Initiatives Symposium

Apr 23rd, 1:00 PM - 4:00 PM

How to Develop a Faculty Open Access Policy as a Multi-stakeholder, Multi-year Cooperative Project

Ada Emmett

University of Kansas, aemmett@ku.edu

Follow this and additional works at: <https://digital.sandiego.edu/symposium>

Emmett, Ada, "How to Develop a Faculty Open Access Policy as a Multi-stakeholder, Multi-year Cooperative Project" (2018). *Digital Initiatives Symposium*. 3.
<https://digital.sandiego.edu/symposium/2018/2018/3>

This Workshop is brought to you for free and open access by Digital USD. It has been accepted for inclusion in Digital Initiatives Symposium by an authorized administrator of Digital USD. For more information, please contact digital@sandiego.edu.

How to Develop a Faculty Open Access Policy as a Multi-stakeholder, Multi-year Cooperative Project

Presenter 1 Title

Librarian and Director, David Shulenburg Office of Scholarly Communication & Copyright, University of Kansas Libraries

Session Type

Workshop

Abstract

The frames by which we approach any societal problem matter. We can examine the scholarly communication system and the systems deeply intertwined within it through many possible lenses, including the lens of cooperation or competition. In this three-hour workshop participants will examine briefly the history of the development of faculty open access policies in the US, and then in more depth the purpose, benefits, and challenges of campus open access policies and review the politics and possible processes for mapping out and developing a path toward the creation of a faculty open access policy. Attendees will together consider the larger national and international contexts in which faculty open access policies exist, and the challenges and benefits of seeing the effort holistically as a cooperative project, nestled within other cooperative or competitive projects.

Location

KIPJ Room D

Comments

Ada Emmett graduated with an MLIS from the University of Washington in 2002 and has been at the University of Kansas (KU) since the fall of that year. She now serves as the Director of the Shulenburg Office of Scholarly Communication & Copyright at KU. Tenured in 2007 and promoted to Librarian in 2016, Emmett played a significant role in planning and executing the approach taken with the faculty senate regarding the development of a KU open access (OA) policy in early 2008. She also played a significant strategic and leadership role on faculty senate committees in drafting, vetting, and then passing of the open access policy in 2009. She led the faculty senate's OA Implementation Task force with senior and distinguished faculty, OA advocates and administrators at KU in 2009-2010 to seek input on, and offer revisions to the OA policy and an implementation plan for the faculty senate review. Emmett regularly consults informally with schools around the country working on developing, passing, and later implementing OA policies. In her current position as Director of the Shulenburg Office of Scholarly Communication she leads library staff and the program through ongoing implementation of OA services and scholarly communication outreach, building up of the open educational resources program, working with faculty on rights issues related to authorship and classroom sharing, and regularly presenting to faculty and graduate student groups.

Creative Commons License



This work is licensed under a [Creative Commons Attribution-Noncommercial 4.0 License](https://creativecommons.org/licenses/by-nc/4.0/)

How to Develop a Faculty Open Access Policy as a Multi-stakeholder, Multi-year Cooperative Project.

Welcome!

Ada Emmett, University of Kansas, aemmett@ku.edu



Presentation and slides Ada Emmett, University of Kansas 2018. A few of these slides (marked) were created and shared by Ada Emmett and Sue Kriegsman in 2013 under the same CC-BY-NC license.

<http://creativecommons.org/licenses/by-nc/3.0/us/>

Agenda:

1-1:15 welcome; ground rules/CoC; we are in learning mode; expectations; getting to know you.

1:15-2pm Overviews

2-2:50pm: Group activity

2:50-3pm: Quickest of breaks

3-3:45ishpm: Group activity

3:45ish-4pm: Plenary and wrapping it up

4:01pm: High Fives, and hang out for more convos if you want.

Code of Conduct & Anti-Harassment Statement

3 Main Things:

- We expect participants to work together to create a welcoming, inclusive, and safe(r) environment for people from diverse backgrounds.
- Don't discriminate against people because of their identity (e.g. race, gender, sexuality, age, class background, ability, religion and more).
- Physical, sexual, and verbal harassment are unacceptable.
- If you experience or witness unacceptable behavior - or have any other concerns - please report it by letting me know. (You can pull me aside or email me aemmett@ku.edu)

Expectations for the Day

Policy development should be viewed as a 10 year project.

Accept that there are many **moving** and **unpredictable** parts, and some **rigidly** defined parts that can...
anchor, or sink, your project.

By the end you will have gained additional information, insights and, I hope, located or drafted next steps on a


Getting to know each
other, quickly

Overview and framing the questions

- Why OA? Academic values and the public good
- Brief history
- Purpose, benefits, challenges
- Pause
- Engage, policy mechanism, implement

OA policy as reflection of values...

touch·stone

/ˈtəʃˌstōn/ 

noun

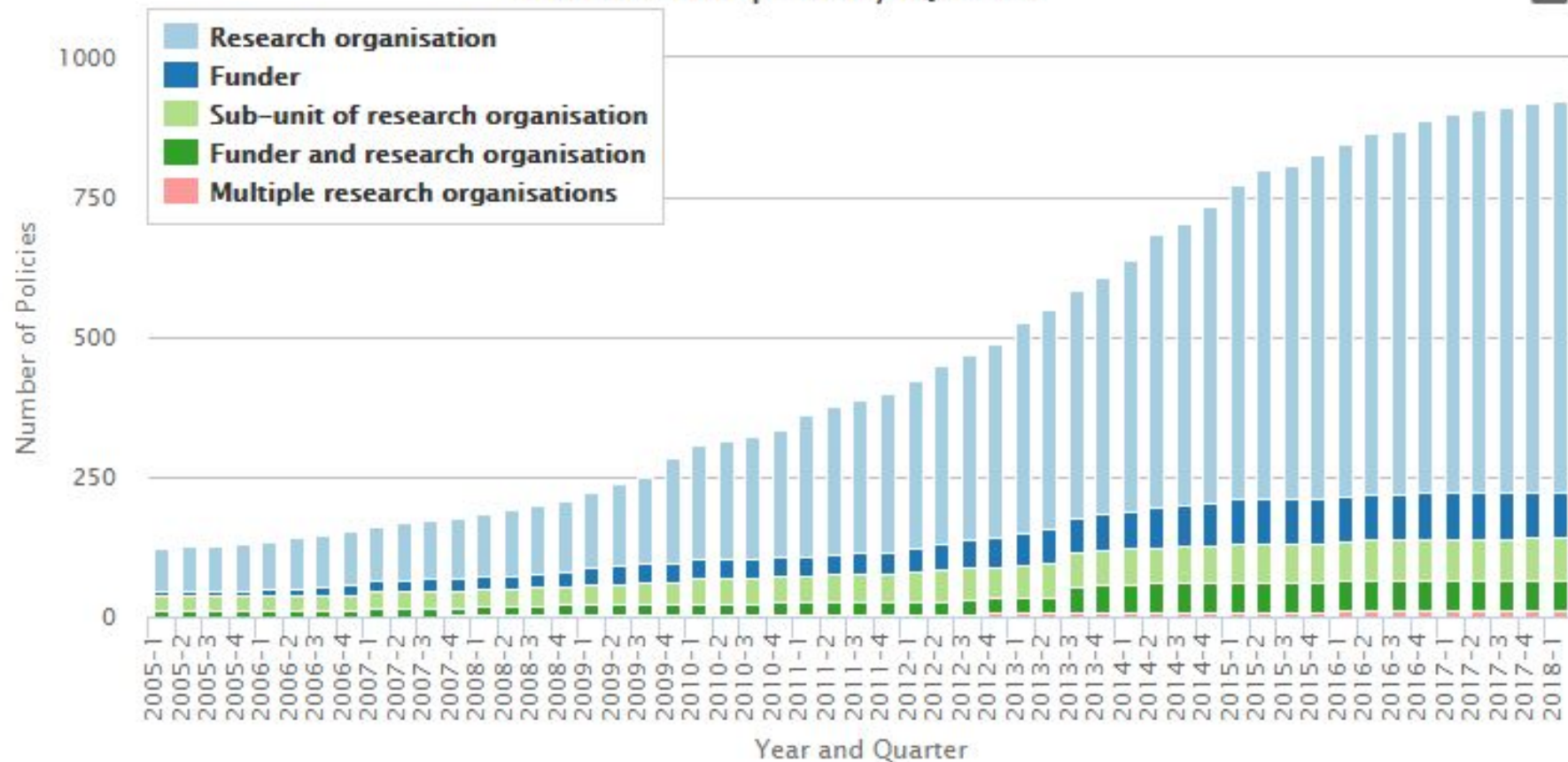
a piece of fine-grained dark schist or jasper formerly used for testing alloys of gold by observing the color of the mark that they made on it.

- a standard or criterion by which something is judged or recognized.

"they tend to regard grammar as the touchstone of all language performance"

synonyms: criterion, standard, yardstick, benchmark, barometer, bellwether, litmus test; [More](#)

Policies Adopted by Quarter



ROAR MAP

Country matches any of "United States of America" AND Rights holding matches any of 'grants key rights to institution'

Displaying results 1 to 20 of 27.

[Refine search](#) | [New search](#) | [Save search](#) | [1](#) | [2](#) | [Next](#)

Order the results: [By Policy Maker](#) [Reorder](#)

Export 27 results as [EP3 XML](#) [Export](#)

1. [Allegheny College](#)
2. [Amherst College](#)
3. [Florida Gulf Coast University](#)
4. [Florida State University](#)
5. [Harvard Business School](#)
6. [Harvard Divinity School](#)
7. [Harvard Law School](#)

Types of policy

- There are at least six types of university OA policy. Here we organize them by their methods for avoiding copyright troubles.

1. The policy grants the institution certain nonexclusive rights to future research articles published by faculty. This sort of policy typically offers a waiver option or opt-out for authors. It also requires deposit in the repository.

- We recommend type #1 in this guide. Most of the good practices collected here are about that sort of policy.

2. The policy requires faculty to retain certain nonexclusive rights when they publish future research articles. Whether or not it offers a waiver option for authors, it requires deposit in the repository.

- We do not recommend #2 because it requires faculty to negotiate with publishers in order to retain the needed rights. That is difficult to do. Many faculty are intimidated by the prospect and will not to do it. Even if all tried it, some will succeed and some will fail. Some will get one set of rights and some will get another. That will make access uneven and multiply implementation headaches.

3. The policy seeks no rights at all, and simply requires deposit in the repository. If the institution already has permission to make a work OA, then it makes it OA from the moment of deposit. Otherwise the works will be "dark" (non-OA) until the author can obtain permission to make it OA. During the period of dark deposit, at least the metadata will be OA.

- When type #3 policies are politically unattainable on a certain campus, then we recommend type #3. We prefer #1 to #3 because #1 provides permission to make articles OA and #3 does not.

4. The policy seeks no rights at all and does not require deposit. It requires repository deposit and OA, but only when the author's publisher permits them.

- We do not recommend #4 because it leaves recalcitrant publishers to opt out at will. Some institutions believe that a loophole for recalcitrant publishers is the only way to avoid copyright infringement. But that is mistaken. All six approaches listed here, properly implemented, avoid copyright infringement.
- Similarly, some institutions believe that an opt-out for authors, as in #1, is the same as an opt-out for publishers, as in #4. But that is also mistaken. Publishers have reasons or incentives to opt out far more often than authors.

5. The policy does not require OA in any sense, but merely requests or encourages it.

- When #1 and #3 are both politically unattainable on a certain campus, we recommend either a type #5 policy or waiting until the community is ready for a type #1 or #3 policy.

6. The policy does not require OA in any sense, but asks faculty to "opt in" to a policy under which they are expected to deposit their work in the repository and authorize it to be OA.

- We do not recommend #6 because it is equivalent to no policy at all. Faculty may already opt in to the practice of self-archiving and OA. This sort of policy differs little from #5 except by leaving the impression that asking faculty to opt in to an OA policy is somehow different from requesting or encouraging OA itself.

Two general kinds of actual policies:
• Permissions based
• Deposit based

Policy components

3 Components to the policy type we are discussing today.

- Grants non-exclusive rights to institution
- Deposit the article
- Opt-out of the policy for a specific article

Model Policy

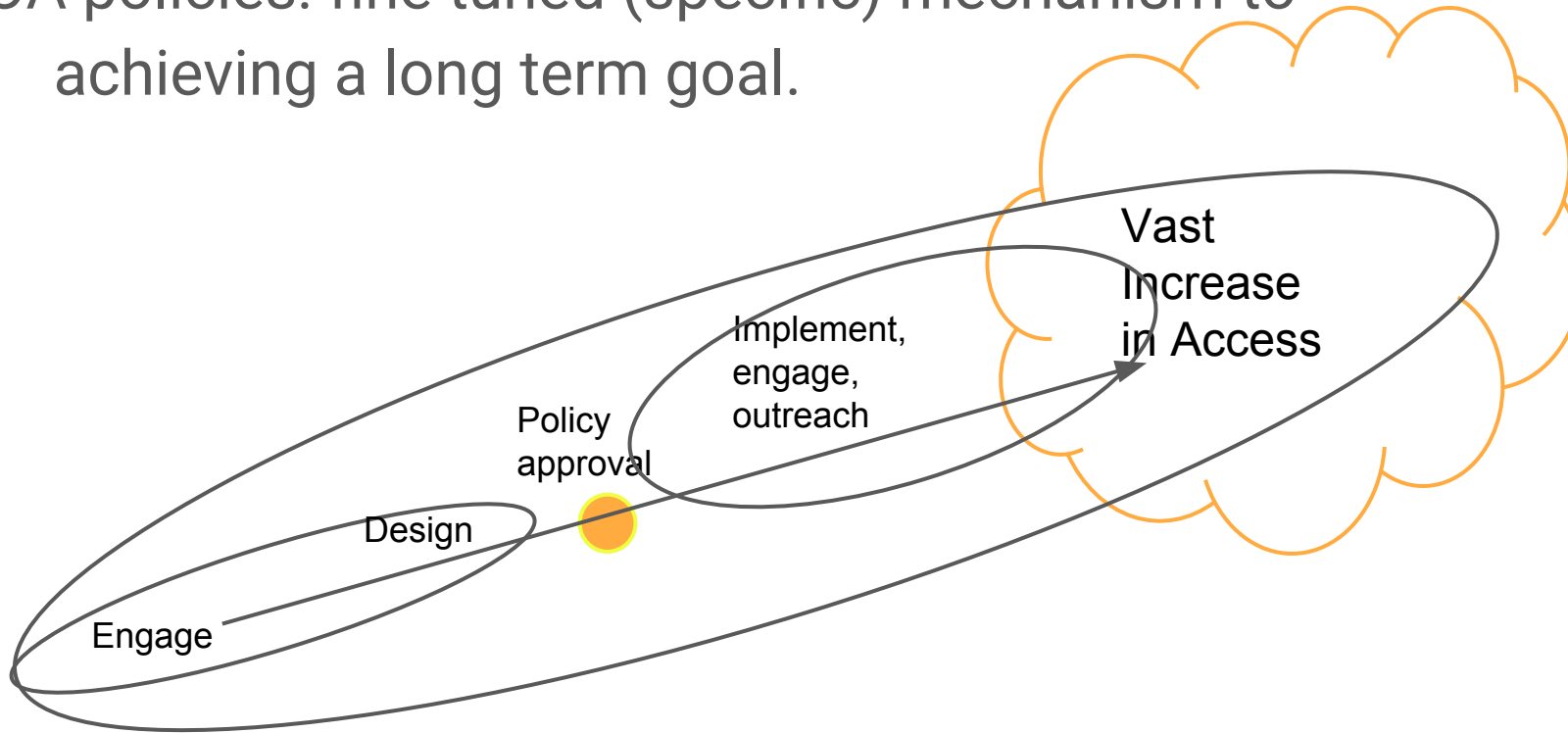
<https://osc.hul.harvard.edu/modelpolicy>

Stuart Shieber

- Based on many policy implementations
- Simple changes can make a big impact

An OA policy is a mechanism

OA policies: fine tuned (specific) mechanism to achieving a long term goal.



Purposes, Benefits, Challenges

GIGO

GIGO

- (computing, acronym) Garbage in, garbage out. The integrity of the output is dependent on the integrity of the input.

Pause

Engage & Assess Stakeholders

Environmental Scan: where are you?

- Evidence of readiness
- Four Frames analysis: Structural, Human Resource, Political, Symbolic, to analyze your environment, organization, approaches forward.
- Time: Allow for the unfolding of an organic process.

consider using ARL/ACRL Institute on Scholarly Communication
environmental scan resources:

<http://www.arl.org/focus-areas/scholarly-communication/institute-on-scholarly-communication/2586-program-planning-a-development-tools>

for a variety of handy tools to assist.

Engage & Assess Stakeholders

Who is needed for policy development?

- Faculty, this is THEIR (faculty) policy, not ours (libraries)
- Librarians, acting as midwives/facilitators to the process
- Faculty champions (from different disciplines) are a must. Period. No questions asked.

Engage & Assess Stakeholders

Engage:

- Small meetings
- Consult with experts at institutions that have passed policies to receive guidance and encouragement.
- Anticipate concerns and issues ahead of time.
- Be ready for your pragmatists, traditionalists, evangelists
- Garbage in, garbage out OR pay now, pay later: Policy development process feeds and informs policy implementation later.
- Find/build/nurture allies. Be an ally.

Identify Critical Pieces for Implementation

Identify critical pieces:

- Paper gathering; depositing on behalf of faculty
- Waiver methods— how, records keeping, requirements
- Sherpa/RoMEO; addenda.
- Reaffirming policy and other methods to lower the ‘breach of contract threat’
- Reports back to faculty on downloads—let them see the benefits.
- Report usage/compliance of policy.

Preconditions for easier OA policy development

- **Advocates:** Faculty advocates who strongly support OA
- **Engagement activities:** before, during, after
- **Campus administrators:** Supportive administrators in libraries and around campus
- **Staffing:** to support the multi-year project of policy development and then operationalize the outreach and implementation
- **Facilitators** and/or others with soft skills to navigate the human and political calculations and complexities; people with leadership skills
- **Legal/IP experts** in library and general counsel
- **Technical support** and funds for infrastructure
- **Time**

Preconditions for easier OA policy development summed up

- The right people
- The right resources
- The right processes

Discuss

Using SPOT analysis

- Strengths
- Problems
- Opportunities
- Threats

SPOT analysis– New Groups ~4 people

1st. Individually reflection for 5 minutes reflect on your institution's SPOT, and what you think might be next steps for you and your organization.

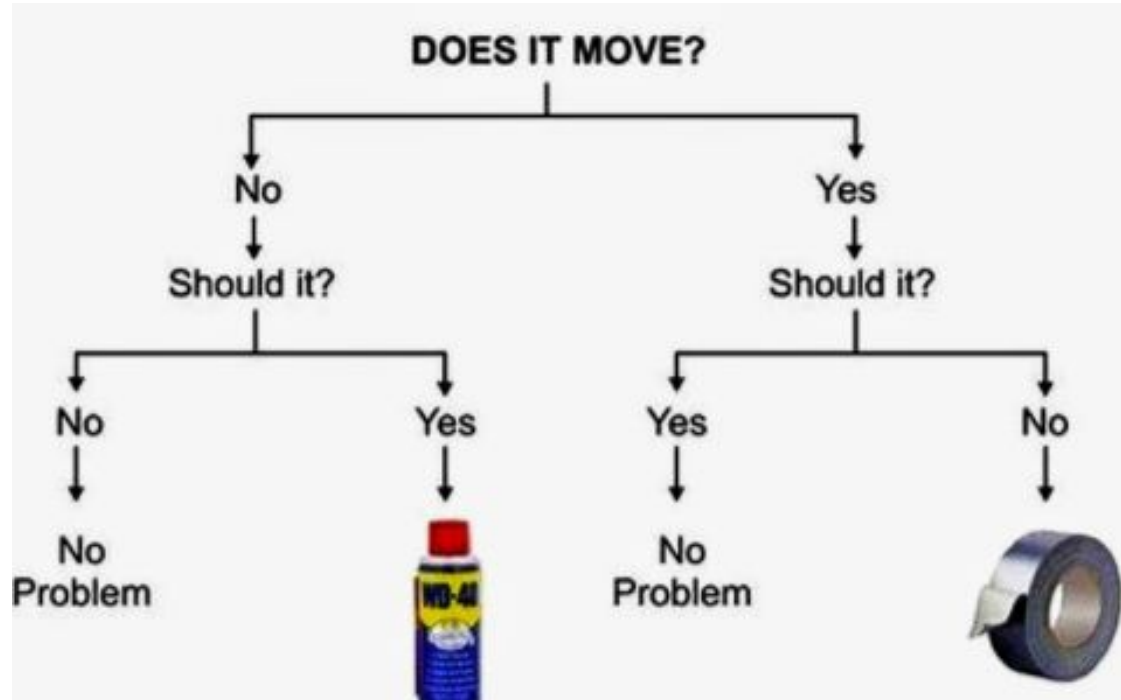
2nd, after self-reflection, come together in your groups to share your top SPOTs and possible steps you can take to encourage or mitigate those...
(15-20 min)

Consider the:

- Strengths (of your organization)
- Problems therein
- Opportunities on the horizon
- Threats to progress toward open access (and policies)

All together

Decision Tree



Groups of 3-4: preconditions for short/long term success

Where are you?

- **people:** leaders and advocates, experts, staffing over time, diversity of faculty/disciplines/administrative supporters; supportive library and campus administrators; legal advice;
- **resources:** human resources, technical and financial resources and infrastructure sustainable over time and tied to your academic mission and values;
- **Processes for incubation and maturation:** cooperative lens, engagement programming, governance procedures, and legalities, group dynamics, human/political calculations, technical and human workflows.

Remember: the components

- **people:** leaders and LOCAL FACULTY ADVOCATES, experts, staffing over time, diversity of faculty/disciplines/administrative supporters; supportive library and campus administrators; legal advice;
- **resources:** human resources, technical (IR) and financial resources and infrastructure sustainable over time and tied to your academic mission and values;
- **Processes for incubation and maturation:** OUTREACH PLANES, cooperative lens, engagement programming, governance procedures, and legalities, group dynamics, human/political calculations, technical and human workflows

Taking next steps

- You are not (and should not) be alone

Wrapping it up

This is just the beginning

- Today is just one more step in a long, perhaps 10 year process that will go on.
- Seek out like-minded colleagues, experts locally, regionally, and nationally, to advise.
- Consider institutional membership in SPARC and COAPI.
- Stick around to chat more.
- You can reach me at aemmett@ku.edu, at the University of Kansas libraries.

