

Understanding, Promoting and Supporting the Tri-Agency Open Access Policy

Webinar

Presented by:
Open Access Working Group of the
Canadian Association of Research Libraries

November 23, 2015



CARL Open Access Working Group:



Canadian Association of Research Libraries (CARL)

- ✧ 29 university library members and two federal government libraries

“provides leadership on behalf of Canada’s research libraries and enhances their capacity to advance research and higher education. It promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information.”

Open Access Working Group (OAWG)

- ✧ Began in summer 2011 - present form 2013
- ✧ Reporting to the Research Dissemination Committee

“Provides coordinated Canadian leadership within a rapidly changing OA environment for issues of interest to CARL and CRKN members. Responds to changes in OA actively, ensuring quick response to and participation in national and international developments that arise from activities among associations, governments, research agencies, and publishers.”

Outline of Webinar

- ✧ Overview of the Tri-Agency open access policy
- ✧ Impact of open access on academics / libraries
 - Concepts, operations and activities
- ✧ Supporting open access in the academic library
 - Opportunities and challenges
- ✧ Addressing licensing challenges
 - CRKN's role and efforts
- ✧ Other supports
 - A snapshot of various tools and efforts of CARL

Overview of the Tri-Agency Open Access Policy

Pat Moore

Librarian, Digital Projects & Technologies,
Carleton University



- ❖ Objectives
- ❖ Implementation
- ❖ Compliance requirements

Tri-Agency Open Access Policy (1 of 3)



✧ Objective

- “to improve access to the results of Agency-funded research, and to increase the dissemination and exchange of research results” (science.gc.ca)

✧ Implementation

- May 1, 2015 and onward for research funded by NSERC or SSHRC
- January 1, 2008 and onward for research funded by CIHR

Tri-Agency Open Access Policy (2 of 3)



✧ Compliance requirement → Publications (all agencies)

- Ensure peer-reviewed journal articles are freely accessible within 12 months of publication, which can be achieved through:
 - Online repositories
 - Open access within journals
- Open version must be final version
 - After peer review
 - After revisions

[Link to FAQ on Tri-Agency OA Policy](#)

Tri-Agency Data Policy (3 of 3)

- ✧ Compliance requirement → Publication-related research data (CIHR only)
 - Deposit bioinformatics, atomic, and molecular coordinate data into the appropriate public database immediately upon publication of research results.
 - Retain original data sets for a minimum of five years after the end of the grant (or longer if other policies apply)

- ✧ Consultation underway on Data Policy for all agencies
 - [Draft Tri-Agency Statement of Principles on Digital Data Management](#) | Overview

Impact of OA on Academics / Library

Pat Moore

Librarian, Digital Projects & Technologies,
Carleton University



- ✧ Concepts
- ✧ Operations
- ✧ Activities

Why Open Now?

At a confluence

- ✧ Technical ability to share
- ✧ Shifts in academic, research culture
- ✧ Push from funders, governments
- ✧ Open movement(s)
- ✧ Remix culture
 - From mashup to robust re-use



Photo: [A. Zwegers](#)

Shifting Cultures: OA & Tri-Agency Policy



✧ General

- Misconceptions about quality and OA
- Impact, metrics and assessment across OA and commercial

✧ Academic / Research Faculty

- “Leading” journals & credit for tenure
- Knowledge sharing as part of research process

✧ Libraries / Librarians / Archivists

- Collecting and indexing OA
- Incorporating OA in reference, guides and teaching

✧ Funders / Administrators

- Money where mouths are - both senses
- Supporting infrastructure development
- Oversight / reporting



Getting Tough

- ✧ Not really new for publishers
 - UK, EU, US, Australia are all ahead of us
 - CIHR - originally more aggressive policy - 6 month embargo
- ✧ Article processing charges (APCs) and (false) assumptions
 - 'Premiums'
 - More than half DOAJ listed journals do not charge APCs
 - Repository as alternative
- ✧ Better re-use
 - Terms of use for teaching, data-mining, metascience
 - Standards for assessment, metrics
 - Export, import and integration tools



Supporting Journals & Editors

- ✧ Hosting journals and infrastructure
 - Software and services
 - Registries (DOI, ISSN, etc)
 - Schema, metadata, indexing
- ✧ Working with editors
 - Development of licenses / policies
 - Informed conversations with commercial publishers
 - Developing instructions for authors



Supporting Researchers & Authors

- ✧ Publishing agreement consultations
- ✧ Predatory publishers information
- ✧ Finding OA venues
- ✧ Metrics, standards and marketing
- ✧ Tools for deposit, reuse
- ✧ Securing text-mining rights



Mission: OA

- ✧ Partnership
- ✧ Advocacy
- ✧ Education
- ✧ Support
 - Infrastructure
 - Services
 - Consultations
- ✧ **Critical Review**

OA is a tremendous opportunity, but our OA initiatives need to be consistent with library mandates, strategic plans, professional ethos, and good practices.

Supporting Open Access in the Academic Library

Bobby Glushko

Head, Scholarly Communications and Copyright
Office, University of Toronto



- ✧ Why have the library support OA?
- ✧ How to successfully have the library support OA?
- ✧ Complicating OA

Why Open Access in the Library?

- ✧ Trusted
- ✧ Libraries always about access
- ✧ Internal expertise
- ✧ Nexus of the research enterprise

OA Success in the Library?

- ✧ Mandates!
- ✧ Work with research office
- ✧ Support researcher needs
- ✧ Get carrots!

The Contrarian View: Closing the OA Fund



Why has U of T been working to close
our open access fund?

✧ Context

- U of T is HUGE
- 84,000 plus students
- 13,000 plus faculty

Issues (1 of 2)

1. Scale

- No way to meaningfully support our faculty at scale
- Diversity of faculties lead to structural inequalities

2. Impact

- Most of the funding went to large commercial publishers
- Over-representation of STEM
- Repeat customers

Issues (2 of 2)



3. Credible alternatives

- Canadian need to comply with Tri-Agency open access mandates
- Author funds cannot meet need
- Green OA through mediated deposit

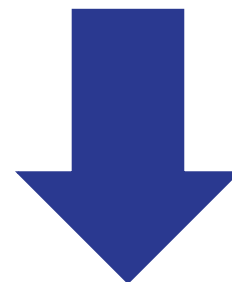
4. The endless drop in the bucket

- Communicate with 13,000 Faculty?!
- Requests after funds are spent

Challenges and Possible Solutions

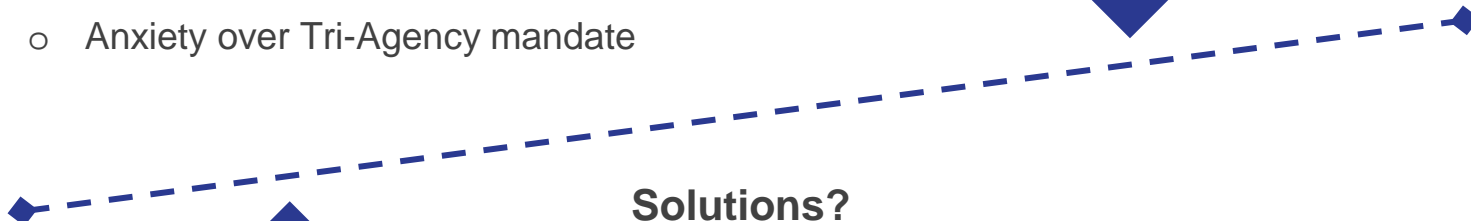
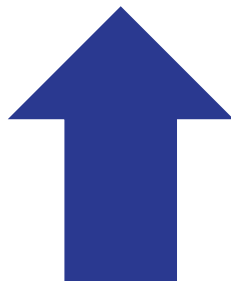
Challenges

- OA Fund is popular
- Library commitments to the university
- Anxiety over Tri-Agency mandate



Solutions?

- Memberships: Good but hard to evaluate
- Mediated deposit: Great! but hard to work retroactively
- Support homebrew alternatives



Further Reflections

- ✧ Pushing back on open access?
- ✧ Why do we support open access?

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- ✧ Glushko and Shoyama, [A Theoretical Framework for Understanding Open Access Initiatives](#)



“All three conclusions from the last two centuries – that the public good is essentially contested, that its evocation is open to demagogic exploitation, and that its meaning in any given case is likely to be heavily shaped by the interests of dominant groups – are reasonable and, I believe, correct.”

Jane Mansbridge

CRKN
Canadian Research
Knowledge Network

RCDR
Réseau canadien de
documentation pour la recherche



Addressing Licensing Challenges

Monica Ward

Senior Content & Licensing Officer, CRKN



- ✧ Feedback from publishers
- ✧ CRKN's role

Feedback from Publishers

- ✧ As the policy is relatively new, it is not on the radar of many publishers
 - This is especially true of large American/international publishers
- ✧ Many publishers already have their own agreements in place directly with authors that govern author deposit, embargos, and authors' right to share or post the final version of their article
- ✧ Hesitant to have these discussions with library or library consortium
- ✧ Sales and licensing departments are not equipped or prepared to deal with author rights within the context of a subscription negotiation

CRKN's Role (1 of 3)

There are several steps that CRKN is taking to facilitate the implementation of the policy:

1. CRKN model license has an author deposit clause, which if included in an agreement, would allow authors publishing in the journals licensed to deposit their articles in an IR, thus complying with the policy.

Clause 2.3 Notwithstanding any terms or conditions to the contrary in any agreement between authors affiliated with a Member and the Publisher, the Publisher hereby grants to the Members the non-exclusive, irrevocable, royalty-free right to archive or deposit the Content online in institutional, subject-based, national, or other open repositories or archives.

CRKN's Role (2 of 3)

2. Encourage publishers to have policies that are aligned with the Tri-Agency Open Access policy so that Canadian authors who have been funded by the Tri-Agency can easily publish in their journals.
3. Negotiate favourable article processing charges (APC) so that authors who choose to comply by paying an APC can have the most favourable rates and terms.

CRKN's Role (3 of 3)



4. Continue to work on open access projects (such as the Érudit Partnership, which is helping to transition a set of French language Canadian journals into fully open access journals) so that authors have more options on where to publish while still complying with the Tri-Agency policy.
5. Continue to work on initiatives to transform the scholarly publishing ecosystem, so that libraries and institutions have more control not only over the cost of subscriptions, but over the terms and conditions that govern those subscriptions (ie. to be able to demand author rights in regards to deposit etc.)



Other Supports

Suzanne Bélanger
Project Officer, CARL



❖ Snapshot of OA tools and promotion efforts of CARL

Tools and Promotion Efforts of CARL (1 of 2)



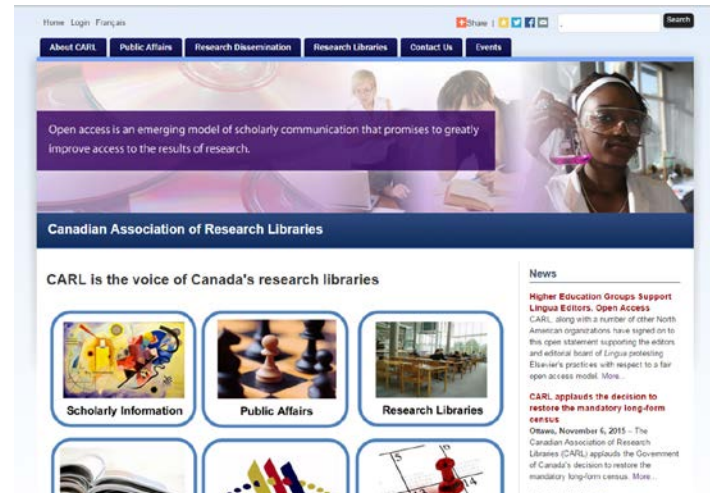
- ✧ CARL supports the federal agencies' efforts in the area of open access
- ✧ Tools developed by CARL and its members include:
 - An author's addendum → a document that helps authors modify their publication agreements so that they may retain some of their rights
 - A set of talking points (i.e., quick answers) about the Tri-Agency policy
 - A primer for researchers on identifying and avoiding predatory publishers

Tools and Promotion Efforts of CARL (1 of 2)



- ✧ Repositories are also available to researchers:
 - OA institutional repositories
 - Adoptive repositories → a concept under which eight of CARL's member libraries provide repository services to external researchers

- ✧ Visit the CARL website for more information: <http://www.carl-abrc.ca/>



Questions?



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