

Reshaping Scholarly Communication: Why Faculty Should Adopt Institutional Open Access Policies

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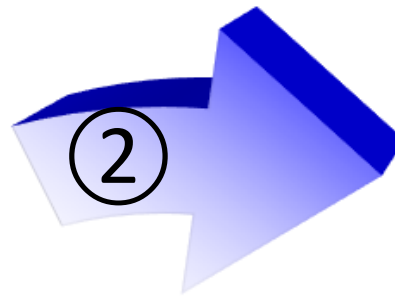
WHY A FACULTY OPEN ACCESS POLICY?

- ① Costs of the current “closed” system of scholarly publishing: actual, societal, and scientific.
- ② Open Access: an alignment of our academic principles, intellectual rights, and our educational mission.
- ③ An Open Access Policy for UCSF and others.
- ④ Frequently asked questions.

Costly

Researchers / Academics

Study earlier research (literature review)
Conduct original research
Analyse results and draw conclusions
Write research paper



Variable Costs

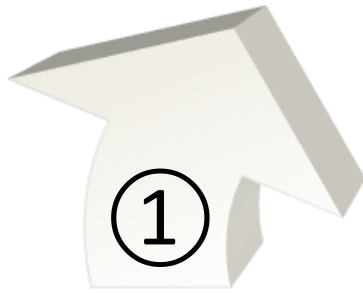
Academic Publishers

Prepare articles for publication
in scholarly journals



Free

Life Cycle of a Scholarly Article



Readers

Find and read articles
Think of new research questions

Costly

Free

Researchers/Academics

Review and edit articles
Accept or reject articles
for publication

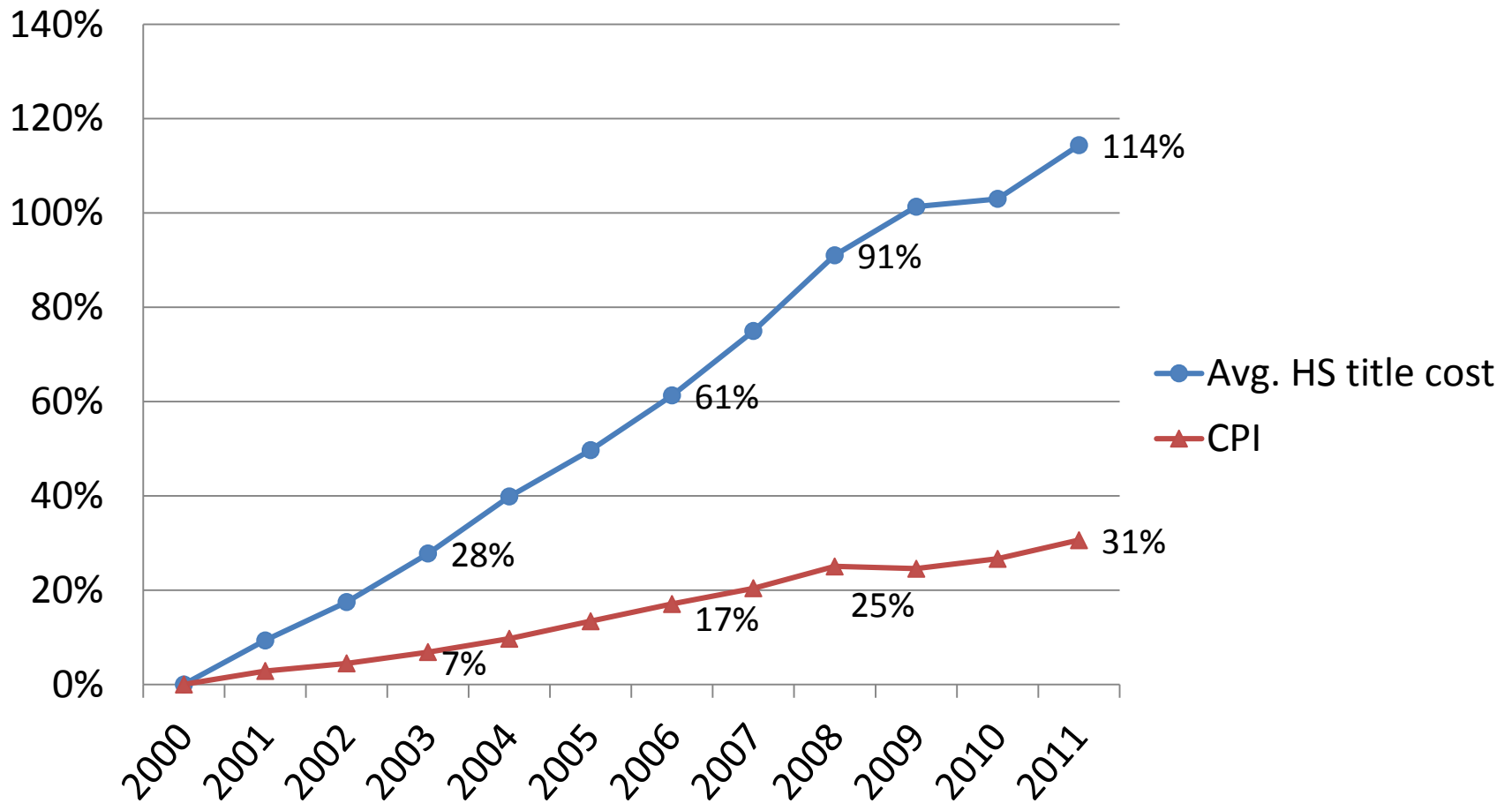


Bibliographic Services

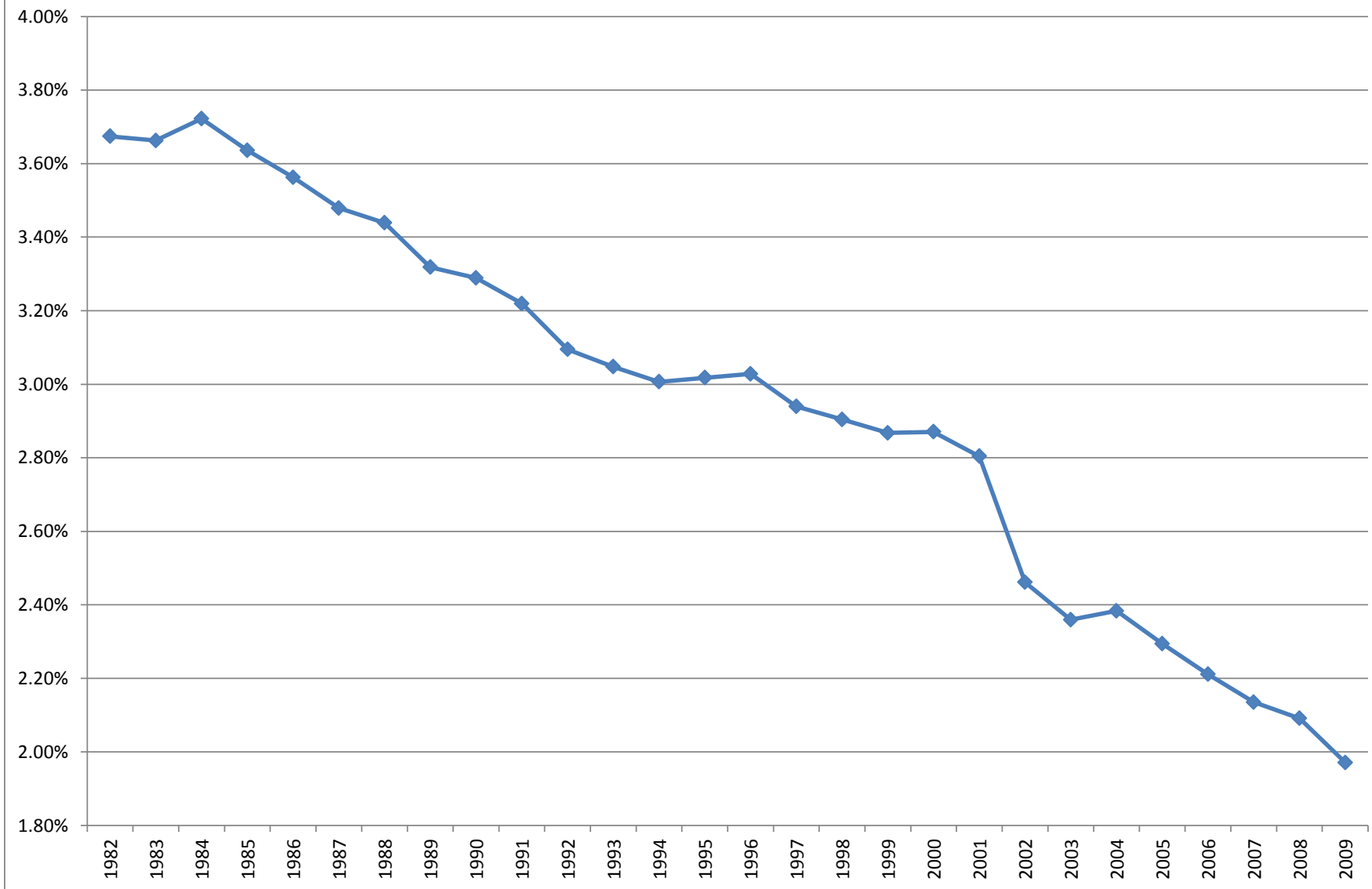
Article indexes (databases)
facilitate discovery of articles
Libraries provide subscription access
and help



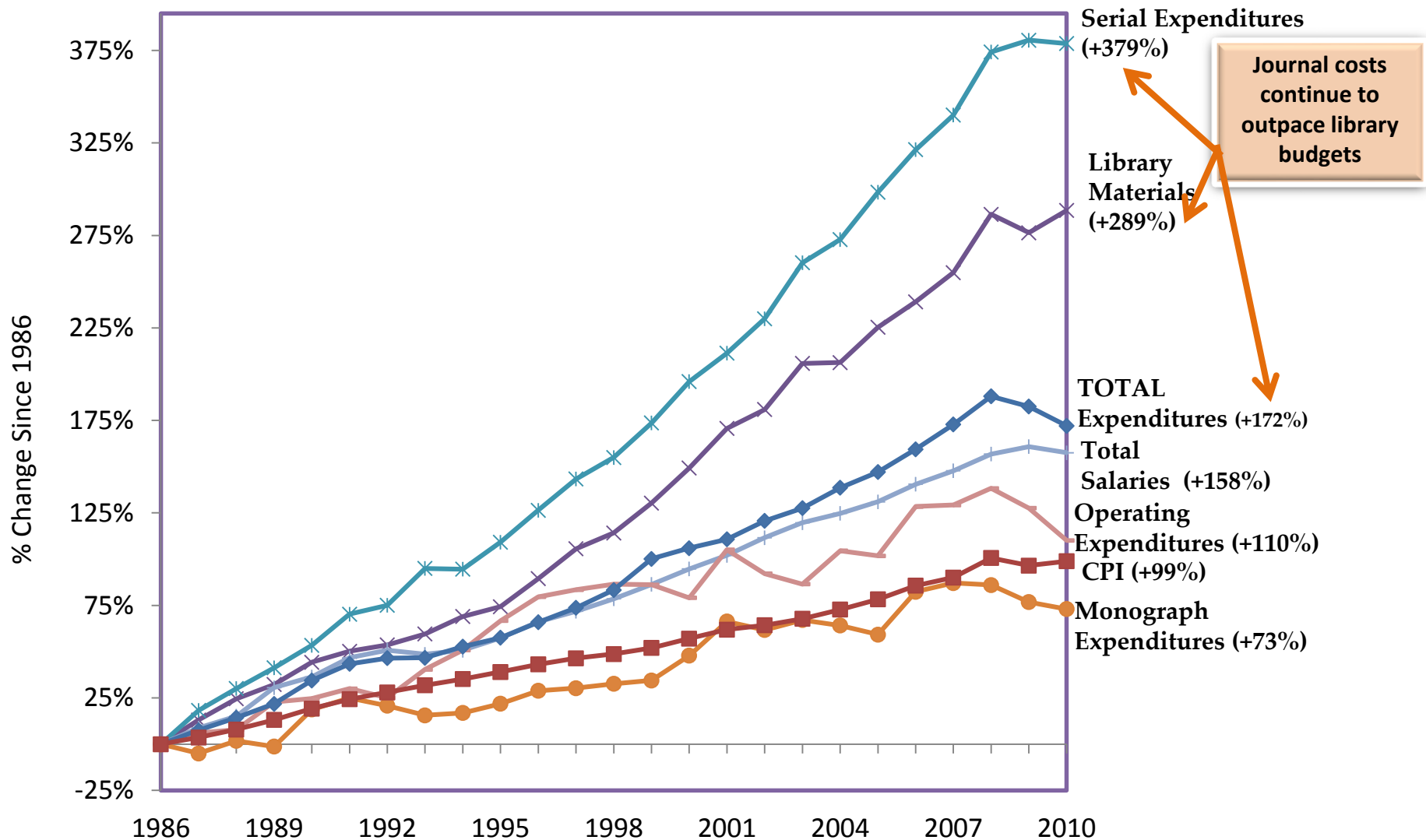
Percent Increase in Cost for the Average Health Sciences Journal versus the CPI



Library Expenditure as % of Total University Expenditure (Average of 40 US Institutions Reporting Since 1982)



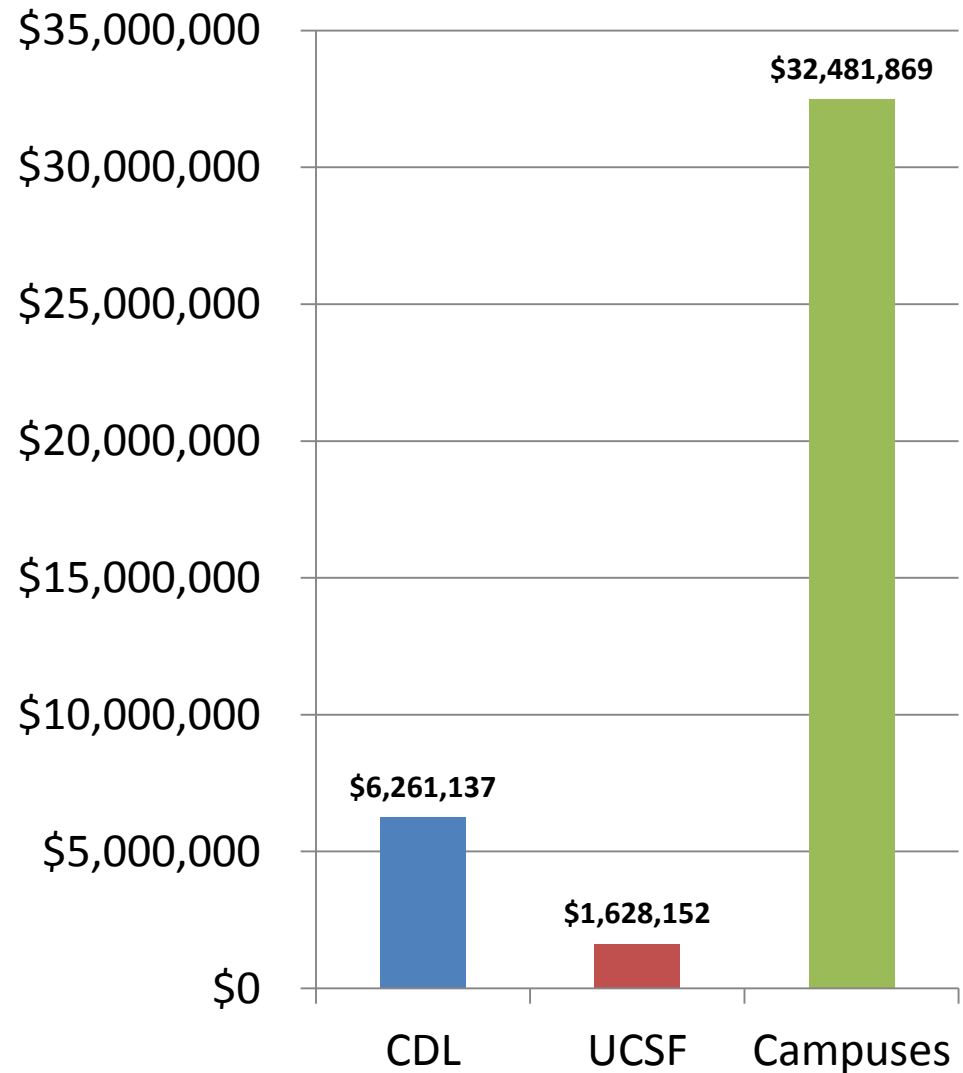
Expenditure Trends in ARL Libraries, 1986-2010



Source: ARL Statistics 2009-10 Association of Research Libraries, Washington, D.C.

2011 UC Systemwide eContent Expenditures

- Total
 - \$38,743,006
- CDL
 - \$6,261,137
 - 16%
- 10 Campuses
 - \$32,481,869
 - 84%
- UCSF
 - \$1,628,152
 - 4% of total



Faculty are losing access to content

- 9 database contracts cancelled since 2008.
- 600 journals (7.5%) cancelled in 2010-2011, including one entire contract.
- More journal cancellations in 2013.

2010/2011 Profits for Commercial Publishers

	<u>Profits</u>	<u>Revenues</u>	<u>Profit Margin</u>
• Elsevier	\$1.2B	\$2B	36%
• Wiley	\$106M	\$253M	42%
• Springer	\$467M	\$1.4B	34%
• Informa	\$74M	\$230M	32%
• Apple			24%
• Google			27%

Faculty authors add significant value to commercial journals *pro bono*

- *Key Principle:* For-profit journals rely upon the contributions of content and labor by Universities:
 - Authorship
 - Editorship
 - Peer review
 - Advisory board service
- Examples: UC authorship contribution to Elsevier journals
 - UC authors: 2.2% of all Elsevier articles
 - UC author estimated contribution to Elsevier revenue: \$31M
 - UC author estimated contribution to Elsevier profit: \$9.8M
- UC authors: 12% of all published articles in *Nature*
- UC author estimated contribution to *Nature* revenue: \$5M
- UC author estimated contribution to *Nature* profit: \$700K

Value of Peer Review

- “The typical reviewer spends 5 hours per review and reviews some 8 articles a year.”

- *The STM Report, 2009*

- Value of UC peer review, all publishers:
\$21 million

– *Conservative figure, based on Senate Faculty only*

In 2002, the Budapest Open Access Initiative
defined open access as:

*"the world-wide electronic distribution of the
peer-reviewed journal literature, completely free
and unrestricted access to it by all scientists,
scholars, teachers, students, and other curious
minds."*

In 2003, a meeting of the biomedical community released the Bethesda Statement on Open Access Publishing:

*"An Open Access Publication is one that meets the following **two conditions**:*

- 1. The author(s) and copyright holder(s) grant(s) to all users a free, irrevocable, worldwide, perpetual right of access to, and a **license** to copy, use, distribute, transmit and display the work publicly and to make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship, as well as the right to make small numbers of printed copies for their personal use.*
- 2. A complete version of the work and all supplemental materials, including a copy of the permission as stated above, in a suitable standard electronic format is **deposited immediately** upon initial publication in at least one online repository that is supported by an academic institution, scholarly society, government agency, or other well-established organization that seeks to enable open access, unrestricted distribution, interoperability, and long-term archiving (PubMed Central is such a repository)."*

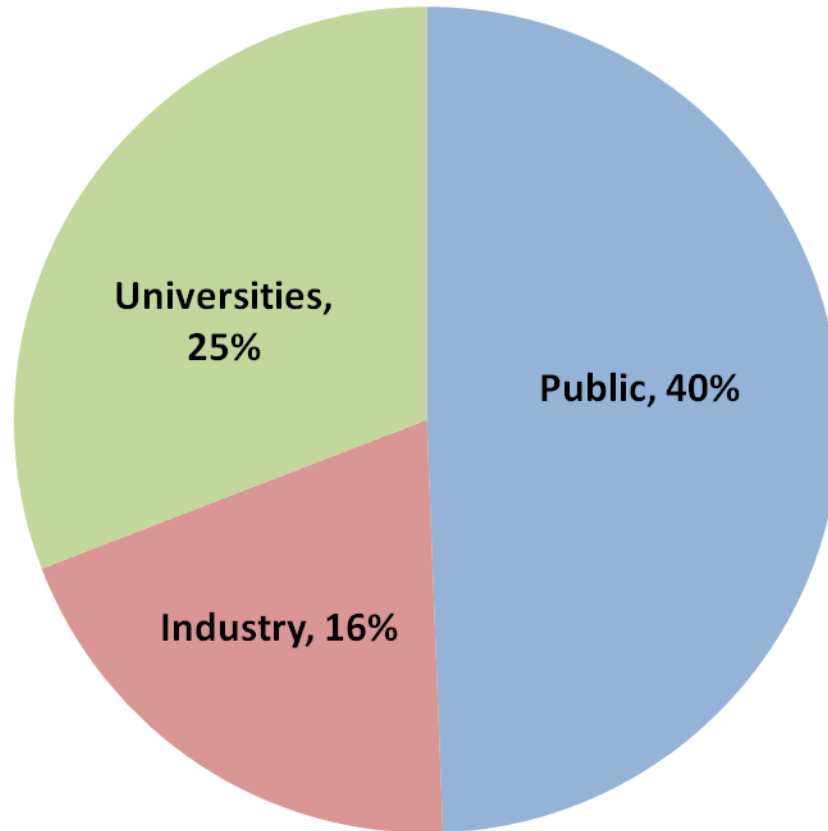
Benefits of Open Access for Faculty and Society

- Increases visibility, usage, and impact of research.
- Fuels innovation, discovery, and progress.
- Allows Faculty to retain control over their publications.
- Allows Faculty to use derivatives of their own work freely.
- The Public gets a return on its investment (i.e., results of funded research is freely accessible and not behind costly barriers).
- Promotes knowledge and free expression as a public good.
- Supports our mission of teaching and learning.
- Offers potential savings for libraries and Institutions.
- Creates free market forces and competition for publishers.

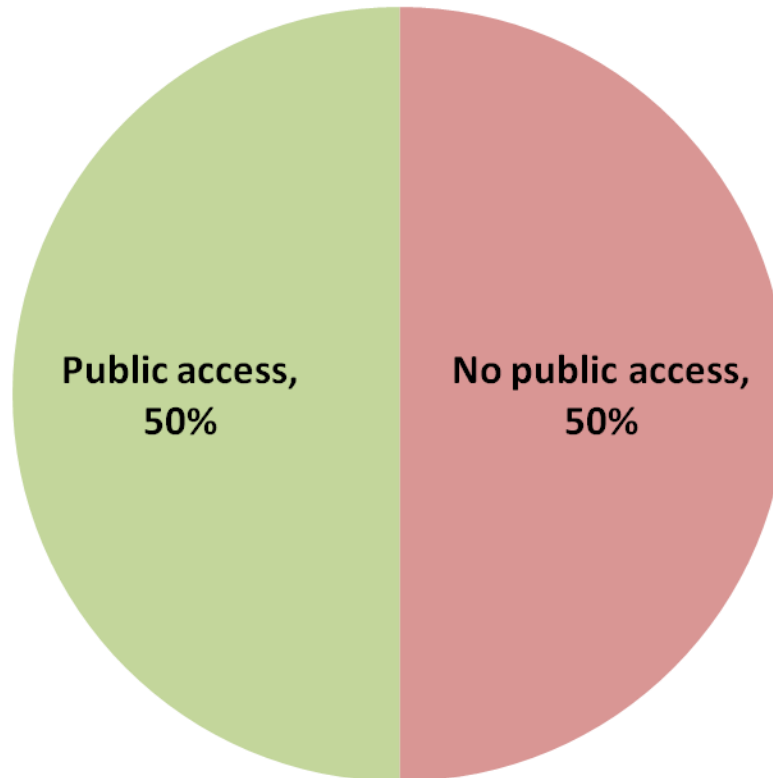
Strategies to Achieve Open Access

- Funder mandates for OA repositories
- Institutional mandates for OA repositories
- Society-sponsored open access journals
- Fee-based open access journals
- Fee-based open access articles

PubMed Central Use Data



Public Access to UCSF Author Articles



Percentage of 3,500 articles published in 2010 that are in PubMed Central

Major US Institutions with OA Mandates

As of May 2012 there are 142 institutional mandates worldwide:

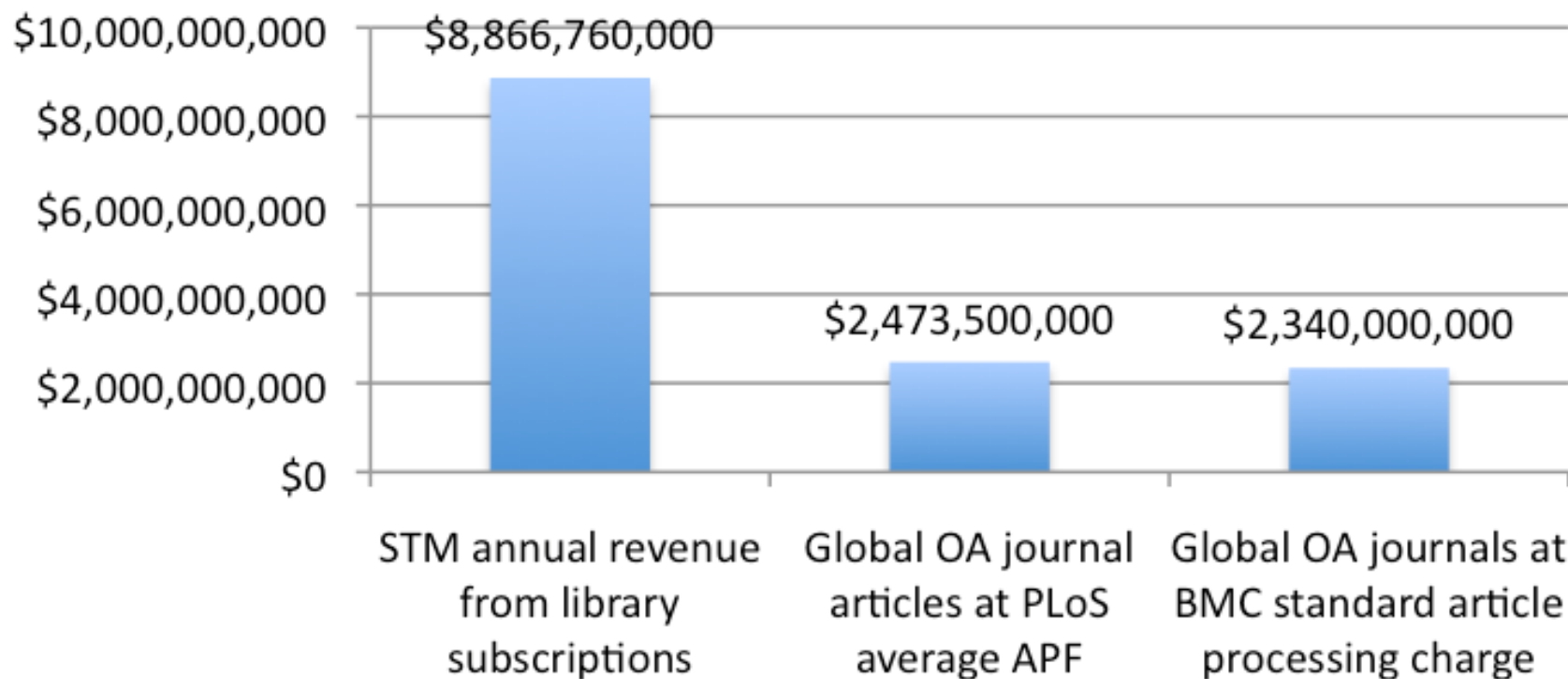
- **Harvard** – February 2008
- **Stanford University** – June 2008
- **MIT** – March 2009
- **Kansas University** – November 2009
- **Duke** – March 2010
- **Emory** – June 2011
- **Princeton** – September 2011
- **UCSF** – May 2012

UC made its first attempt at a Systemwide OA Policy in 2006 (upon which many of the above were subsequently based)

Concerns/Myths about Open Access

- Effect on academic and professional societies
- Peer review process
- Vanity publishing
- Sustainability

Theoretical resources available to support Open Access worldwide



Using the PLoS average article processing fee of \$1,649 U.S. per article, or BMC average article processing charge of \$1,560 U.S., libraries worldwide could fund full open access to the world's estimated 1.5 million scholarly peer-reviewed journal articles produced every year at **less than 30% of current annual global academic library journal expenditures.**

Faculty retain copyright

A UC Open Access Policy encourages scholarly publishers to change their expectations about who should retain which rights in a publication.

The Current UC Policy on Copyright Ownership (August 19, 1992) already establishes that UC Faculty hold the copyright for their scholarly work.

Yet, Faculty routinely give up their copyrights completely to commercial publishers who then manage these rights for profit.

Under an Open Access Policy, scholars grant to the University a specific non-exclusive right to disseminate their work, rather than granting publishers exclusive control over a publication.

UCSF Open Access Policy

The Faculty of The University of California at San Francisco (UCSF) is committed to disseminating its research and scholarship as widely as possible, and as members of a public university system, is dedicated specifically to making its scholarship available to the people of California. Thus, the Faculty adopts the following policy:

For the purpose of open dissemination, each Faculty member grants to the Regents of the University of California, a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, provided that the articles are not sold. The policy applies to all scholarly articles authored or co-authored while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. This policy does not transfer copyright ownership, which remains with Faculty authors under existing University of California policy. Application of the license will be waived for a particular article or access delayed for a specified period of time upon express direction by a Faculty member to the University of California.

To assist the University in disseminating scholarly articles, each Faculty member will provide an electronic copy of his or her final version of the article to the University of California by the date of publication. The University of California will make the article available in an open-access repository. When appropriate, a Faculty member may instead notify the University of California if the article will be freely available in another repository or as an open-access publication.

The Academic Senate and the University of California will be responsible for implementing this policy, resolving disputes concerning its interpretation and application, and recommending any changes to the Faculty. The Academic Senate and the University of California will review the policy within three years, and present a report to the Faculty.

The Faculty calls upon the Academic Senate and the University of California to develop and monitor a service or mechanism that would render implementation and compliance with the policy as convenient for the Faculty as possible.

UCSF Open Access Policy Options

The UCSF Academic Senate voted on and unanimously passed an Open Access Policy for UCSF faculty at its May 21, 2012 Division Meeting. View the [policy and supporting documents](#) at the Academic Senate website.

To request a waiver or an embargo of this policy, please complete the appropriate form below. You can also request an addendum for inclusion alongside your author agreement.

If you are not sure whether you need a waiver, embargo or addendum or if you have additional questions about the policy or this process, visit our [Frequently Asked Questions](#) page. You may also contact us at oapolicy@ucsf.edu. If you do not yet have a final version please deposit that version as soon as it's available.



Deposit: Submit your article to UC's eScholarship repository or notify us if it is already OA or available in another OA repository.



Embargo: Request verification that your publication will not be displayed in UC's eScholarship repository until your publisher's required embargo period has expired.

[\(Learn more\)](#)



Addendum: Notify publishers of your rights under the OA policy by generating an addendum to attach to your publisher's author agreement. Or, use the SPARC author addendum to secure additional author rights.

[\(Learn more\)](#)



Waiver: If required by your publisher, request a waiver to opt-out of the Open Access license for a single publication.

[\(Learn more\)](#)

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If you are not sure whether you need a waiver, embargo or addendum or if you have additional questions about the policy or this process, visit our [Frequently Asked Questions](#) page. You may also contact us at oapolicy@ucsf.edu. If you do not yet have a final version please deposit that version as soon as it's available.



Deposit: Submit your article to UC's eScholarship repository or notify us if it is already OA or available in another OA repository.



Embargo: Request verification that your publication will not be displayed in UC's eScholarship repository until your publisher's required embargo period has expired.
([Learn more](#))



Addendum: Notify publishers of your rights under the OA policy by generating an addendum to attach to your publisher's author agreement. Or, use the SPARC author addendum to secure additional author rights.
([Learn more](#))



Waiver: If required by your publisher, request a waiver to opt-out of the Open Access license for a single publication.
([Learn more](#))

Waiver Form

*Article Title

*Faculty Author First Middle Last

*Journal

Publisher

*Discipline

*Email

You may upload your paper below, indicating which version you are providing. You can check the [Sherpa/Romeo](#) service to determine whether your publisher allows upload of the final formatted version.

Version ☐ Publisher's Final Version (if allowed)

☐ Author's Final Version (post peer-review)

Upload File

* required

From: no-reply@escholarship.org
Subject: Notification of open access waiver
Date: September 20, 2012 4:26:40 PM PDT
To: Library - DL OA Policy
Reply-To: no-reply@escholarship.org

Dear policy administrator,

This is an automated message is to notify you that an Open Access Policy waiver form has been submitted. Details follow:

Requested: waiver

Title: Role of a prefrontal cortex to brainstem projection in responding to behavioral challenge

Author 1:

First Name: Loren

Middle Name: Magnus

Last Name: Frank

Journal: Nature

Publisher: Nature Publishing Group

Discipline: Biological and Biomedical Sciences

Email: loren@phy.ucsf.edu

Version: Select Version

Link to uploaded file: http://escholarship.org/openAccPol/data/oap_5bTvkX/file/

Link to waiver PDF: http://escholarship.org/openAccPol/data/oap_5bTvkX/waiver.pdf

Acknowledgements

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UCOLASC: Brenda Abrams and committee members

UCSF Library: Karen Butter, Julia Kochi, Anneliese Taylor, Gail Persily, Michelle Henley

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UCSF Administration: Sally Marshall and Keith Yamamoto

UCB: Molly Van Houweling

CDL: Laine Farley, Ivy Anderson, Catherine Mitchell, Lisa Schiff, Justin Gonder

ULs: Ginny Steel, Brian Schottlaender, Tom Leonard

UOP/SLASIAC: Dan Greenstein, Larry Pitts, Mary MacDonald

Harvard: Peter Suber

FAQs

- **Why did we do this?** *An Open Access Policy is a powerful, collective statement about Faculty commitment to promote the access to and use of our scholarship by the public. The primary aim is to make our scholarship more widely available and accessible. We can assert Faculty control over the publication of scholarly research, and recognize our responsibility for making that process sustainable and true to the intentions of scholars. We also send a strong collective message to commercial publishers about our values and the system we would like to see put in place.*
- **Why does the policy use an automatic license? Why not just let individuals do it themselves?** *Experience has shown that mere exhortations have little effect on authors' behavior. Before Congress made it a requirement, participation in the NIH Public Access Policy was optional. During that period, there was only a 4% level of compliance. Opt-out systems achieve much higher degrees of participation than opt-in systems, even while remaining non-coercive. By making a blanket policy, individual Faculty benefit from their membership in the policy-making group. The University can work with publishers on behalf of the Faculty to simplify procedures and broaden access. Without a blanket policy, the unified action benefit of the policy would be vitiated.*
- **What must Faculty do to comply with this policy?** *The policy operates automatically to give the University a license to make available all scholarly articles. This policy can be communicated to your publisher when signing the copyright license or assignment agreement in the form of a boiler-plate addendum, and simply notifies the publisher that any agreement is subject to this prior license. Part of the implementation plan will be to provide a standard addendum for this purpose. Whether you use the addendum or not, the license to the University still will have force.*

FAQs

- **Is OA a scheme to move the burden of subscription costs on to Faculty?** *No. Open Access is an effort to make research publications as widely available as possible. To do so, we must shift from the standard subscription-based model (i.e., payment for access) to a model that supports the publication of freely accessible research through contributions from funders, institutions, and/or authors. Currently, University libraries pay for ever-increasing subscriptions to journals, and so the burden of costs already fall on Faculty in the form of reduced library services, access, and staff.*
- **I've never paid to publish before, why should I do so now?** *Authors have historically paid for reprints, page charges, color plates, etc. In some cases these would have been more expensive than current OA publication fees. For conferences, authors routinely pay submission fees for abstracts or to print posters. Authors also pay for reagents, materials, and other parts of a publication (e.g., statistics, sequencing, or illustrations). Paying for someone to publish your paper can be seen as just another contracted service in support of your research.*
- **Will Funders such as NIH pay for publication costs?** *Yes. According to published NIH policy, "The NIH will reimburse publication costs, including author fees, for grants and contracts on three conditions: (1) such costs incurred are actual, allowable, and reasonable to advance the objectives of the award; (2) costs are charged consistently regardless of the source of support; (3) all other applicable rules on allowability of costs are met."*
- **Will my Institution help pay for publication costs?** *Yes. In lieu of subscription costs, the library will have resources available to support Faculty publications in Open Access journals.*

FAQs

- **Are OA journals peer-reviewed to the same degree as more traditional publications?**
Yes. A journal's economic or access policy does not determine its peer review policy. Most scholarly journals, whether open access or controlled-access journals, are rigorously peer-reviewed, and usually by Faculty just like us. There are both open and controlled journals that are not peer-reviewed. Many publishers now have an open access option for individual articles. This open access option does not change the quality of the peer review or editorial process for those journals or articles.
- **There are a lot of bad open access journals out there, how do we distinguish the good journals from the bad ones?**
Open access is not a designation of quality. OA journals should be judged by exactly the same criteria as any traditional publication: the caliber of the research published, the peer review process, the composition of the editorial board and staff, impact factors or any other trusted metrics of quality.
- **Do articles published in OA journals get as much credit during T&P reviews as articles published in commercial journals? Would there be a disproportionate impact on junior Faculty who have not yet been tenured?**
The proposed policy should have no effect on tenure and promotion. The policy does not prescribe or proscribe the venues in which an author may publish. It could have a positive effect on some scholarship insofar as leading to more visibility and higher rates of citation.

FAQs

- **What effect will this have on the ability of Faculty to publish in top-ranked journals?** *None. The policy is completely agnostic with respect to where a Faculty member chooses to publish: it only requires that Faculty retain the right to make the work available in a repository. If a publisher refuses to publish a work due to the policy, the Faculty member has several options: he or she can choose to publish elsewhere, ask your librarian to negotiate with the publisher, or in the last instance, simply opt out of the application of the license.*
- **Can I opt out of this policy?** *Yes. The policy allows Faculty members to opt out of making a work open access. If for any reason, the scholar does not want the work to be made publicly available, he or she simply needs to inform the University. The policy does not, however, allow Faculty to opt out of the deposit requirement. We are in essence, agreeing to make a copy of our articles either actually or potentially available freely in a repository.*
- **Doesn't this opt-out approach mean that the policy has no teeth? Won't publishers just demand that all authors opt out?** *Many publishers already allow deposit of articles in their standard agreements, and will have no issue with this policy. A goal of this policy is not to make large publishers capitulate to Faculty demands for open access, but to find ways to make our work have greater impact and accessibility. If there is any message to publishers, it is that we hope they will continue to explore options for more sustainable open access publishing solutions in the future, so that policies such as this one become unnecessary.*

FAQs

- **Why require Faculty to deposit an article even if they opt out of the Open Access requirement?** *There are at least three possible advantages: 1) it allows the Faculty member to change their mind later; 2) it allows an independent entity (the University) to preserve a copy of any publication in the case that a publisher goes out of business or decides to sell or close a particular journal or venue; and 3) it retains for the Faculty member the right to republish an article in another venue in the case that a publisher refuses permission. An unintended effect might be the creation of a robust archive of Faculty publications for the purposes of review for promotion and tenure.*
- **Do Open Access policies increase Faculty vulnerability to piracy of our intellectual property? Do they enable plagiarism?** *The policy creates an open access version of a scholarly article covered by copyright. All of the rights and duties that exist in the case of traditional publication remain in the case of the Open Access version, including the ability to prosecute in cases of piracy or plagiarism. If anything, it will deter piracy by allowing access to a freely available version of an article that might otherwise be distributed unlawfully. Plagiarism is something that cannot be addressed by an open access policy.*
- **What version do I submit to the repository?** *The policy requires that the author submit the “author’s final version”—which usually means the manuscript copy post-peer review but before a publisher typesets and finalizes it. In the case that the author is publishing in an open access journal, the version submitted might be the final published version.*

FAQs

- **Publishers usually require Faculty to check a box indicating transfer of copyright before a paper is published. Are Faculty in compliance with the policy if they check the box?**
Faculty are free to transfer their copyright to whomever they wish, but articles are henceforth be subject to a pre-existing license. In practice, Faculty may opt out of the Open Access requirement, meaning that the policy requires only that a copy of the pre-publication version of an article be deposited with UC, though not made available. Publishers should be alerted to the policy using a standard addendum. Faculty might also want to think carefully about transferring copyright to any publisher, and instead offer a license. Many Faculty routinely modify their agreements to do just that, and many publishers comply.
- **What do Faculty need to do to comply with the policy?** *Not much. Simply notify the publisher of the policy when signing the final publishing agreement and deposit a copy of the article, upon publication, within UC's eScholarship open access repository. UC's eScholarship repository already houses over 7,000 postprints within its more than 45,000 UC-affiliated publications. If your articles are already deposited in PubMed Central per NIH policy, then you will continue to deposit there with the understanding that a copy will also be harvested and deposited in eScholarship, unless you opt out of this policy altogether. The eScholarship submission process will be quite minimal and involve a simple web form. The UL's and CDL's technical teams intend to refine this process further by developing a system that, upon receipt of a document, will harvest all of that publication's available, pertinent metadata and return the information to the author for approval prior to final submission.*