Open Access Policy

General Faculty Meeting
27 November 2012
Subcommittee on Open Access Policy
Academic Services Committee
Outline

• Background on process
• Overview of open access
• Proposed policy text
Subcommittee Membership

• Prof. Steve McLaughlin, CoE, co-chair
• Prof. Ellen Zegura, CoC, co-chair

• Prof. Michael Best, IAC and CoC
• Doug Britton, GTRI
• Prof. Rob Dickson, CoS
• Prof. Subhro Guhathakurta, CoA
• Prof. Evans Harrell, CoS
• Marlit Hayslit, GTRI
• Prof. Benjamin Herndon, CoM
Subcommittee Charter

The Subcommittee on Open Access will study the question of open access to faculty publications and, as appropriate, draft a Georgia Tech policy on open access publishing, taking into account the diversity of interests and concerns on the part of Georgia Tech faculty.

The subcommittee will take as input the preliminary work of the Library Faculty Advisory Board, which has developed subject matter familiarity and has visited a majority of Georgia Tech faculty meetings to discuss the subject of open access.
Timeline and Process

• Library Faculty Advisory Board led discussions of open access issues at faculty meetings (Spring and Fall 2011)
• Executive Board chartered an ad-hoc subcommittee of Academic Services Committee to examine open access (December 2011)
• Subcommittee discussed and developed a draft open access policy (Spring 2012)
• Subcommittee held Town Halls (4) on draft and revised in response (late Spring and Fall 2012)
• Academic Services Committee voted to recommend (November 2012)
• Executive Board of Senate voted to recommend (November 2012)
What is an Open Access Policy?

• The proposed open access policy allows faculty members to retain some rights to the copyrights in their journal publications and to grant a license to GTRC for the purpose of making those publications available in an institutional repository (SMARTech) for general access.
How Does the Policy Work?

• When your paper is accepted to a journal, you submit the author’s final version (with post-review edits) in pdf to SMARTech. The library staff will determine if the publisher’s policies allow archiving.

• If allowed, your paper will be archived.

• If allowed but with an embargo (delay) period, that will be put in place.

• If the publisher does not allow archiving, you can opt out or you can submit an author addendum to the copyright to the publisher (with library assistance).
SMARTech Submission Form (under development, close to done)

Submitted by frasco3 on Tue, 11/20/2012 - 10:55

Use this form to upload your scholarly work for the GT Library to deposit on your behalf into the SMARTech OA repository. Please note that in order for the library to handle the deposit process for you, you’ll need to agree to the non-exclusive SMARTech deposit license. This license does not require you to transfer any of your copyright to GTRC. If you have any questions, please don’t hesitate to contact us at smartech@library.gatech.edu.

Want to waive the Open Access policy instead? Click here.
Deposit in an alternate repository (not SMARTech)? Click here.

Your email address *

Enter your email address here.

Item Title *

Enter the title of the item you are submitting (for example, if an article, list the title of the article here).

Item Author(s) *

Enter the author(s) of the article/item being submitted. Separate multiple authors by semicolons. (Format: Smith, Jane S.; Doe, John M.)

Embargo Option

Click here if you wish to embargo this item for a specified period.

File upload(s) *

Choose File no file selected

The files you have successfully uploaded will appear above this text. You can click “remove” next to the file name to remove before submitting.

Agree to license *

I have read and agree to the SMARTech license.
What Is the Benefit?

• The policy gives authors who are so inclined a chance to increase the distribution and impact of their work by making it more widely available.

• Establishing a policy that works for Georgia Tech on our terms means we have a chance to lead in any system-wide policy discussions that may take place later.
What If I Don’t Want to Participate?

• The policy asks that you opt out. The library will maintain a simple web-based form to allow you to do that. No questions are asked; you may opt out for any reason.
SCREENSHOT OF OPT OUT FORM

OPEN ACCESS POLICY WAIVER

Submitted by frascoe3 on Tue, 11/20/2012 - 11:25

This form can be used to waive Georgia Tech's Open Access Policy for a desired article.

Request Waiver *

- As the author, I hereby give notification that the application of the Georgia Tech Open Access policy shall be waived for the article referenced in this form.

A waiver of the Open Access Policy will be granted upon submission of this form.

Article title *

Article author(s) *

To be published in:

If possible, please let us know where this article is/will be published.

Submit
Why Not Make it Opt In?

- Opt in approaches, also called resolutions or recommendations, do not have the influence over publisher policies that opt out approaches have. A number of publishers have policies that allow archiving “if required by employer/funding agency”. A Georgia Tech policy with opt out will allow authors to fall under the “if” condition.
What are Others Doing?

• Peer institutions with comparable policies include:
  – MIT
  – Princeton
  – Duke
  – Rice
  – Emory
• NIH requires deposit in PubMed Central
• NSF has working group considering a policy
What if I Have Questions Later?

OPEN ACCESS POLICY FAQ

Frequently Asked Questions about the Georgia Tech Open Access Policy
(as compiled by Ellen Zegura, Faculty Senate OA Sub-committee)
Last updated: November 19, 2012

Q: Why are we considering an open access policy? Doesn’t the current model work?

A: Under the current model, most publishing transfers copyright to the publisher, leaving no rights retained by authors. The current model does not support authors who wish to retain some rights to copyright and then use those retained rights to make their work available in institutional archives. In some fields such as physics this does not matter because the field already practices systematic archiving, but in other fields it does matter.

Q: What kinds of publications are included and not?

A: This policy applies to all published scholarly articles that any person authors or coauthors while appointed as a member of the Faculty, except for any such articles authored or co-authored before the adoption of this policy, or subject to a conflicting agreement formed before the adoption of this policy, or conducted under a classified research agreement. Examples of excluded content include books, course materials, theses, student-only publications, opinion pieces.
Open Access Policy (1 of 3)

Paragraph 1: The “why” paragraph
The Faculty of Georgia Tech is committed to disseminating the fruits of its research and scholarship as widely as possible. In addition to the public benefit of such dissemination, this policy is intended to serve faculty interests by promoting greater reach and impact for articles, simplifying author retention of distribution rights, and aiding in electronic preservation. In keeping with these commitments, the Faculty adopts the following policy:

Paragraph 2: The “what” paragraph with legal language
Each Faculty member grants to Georgia Tech Research Corporation (hereinafter "GTRC") nonexclusive permission to make available his or her scholarly articles and to exercise the copyright in those articles for the purpose of open dissemination. In legal terms, each Faculty member grants to GTRC a nonexclusive, irrevocable, royalty-free, worldwide license to exercise any and all copyrights in his or her scholarly articles published in any medium, provided the articles are not sold or licensed for a profit by GTRC or any GTRC-granted licensee.
Paragraph 3: The “applicability and opt out” paragraph

This policy applies to all published scholarly articles that any person authors or co-authors while appointed as a member of the Faculty, except for any such articles authored or co-authored before the adoption of this policy, or subject to a conflicting agreement formed before the adoption of this policy, or conducted under a classified research agreement. Upon notification by the author, the Provost or Provost's designate will waive application of this license for a particular article. At author request, access will be delayed for up to one year.

Paragraph 4: The “how to comply” paragraph

To assist in distributing the scholarly articles, each Faculty member will make available an electronic copy of his or her final version of the article at no charge to a designated representative of the Provost’s Office in appropriate formats (such as PDF) specified by the Provost’s Office, no later than the date of publication. The Provost’s Office or designate will make the scholarly article available to the public in an open-access institutional repository.
Open Access Policy (3 of 3)

Paragraph 5: The “alternative repository” paragraph
In lieu of submission to a Georgia Tech institutional repository, an author may satisfy the terms of this policy by making such work available through an alternative repository of the author's choosing, with notification to the Provost or Provost's designate, provided that such repository makes the work accessible in full-text to the public, without costs imposed on any individual user, and that it offers to preserve and maintain access to the work indefinitely.

Paragraphs 6 and 7: The “governance and policy review” paragraphs
The Provost will charge an Open Access Policy and Implementation Committee with policy interpretation and with developing a plan that renders compliance with the policy as convenient for the faculty as possible. The OA Policy and Implementation Committee comprises two members of the Library/Faculty Advisory Board, one member of the General Faculty Academic Services Committee, one member of the library staff, and one representative of GTRC. The policy and service model will be reviewed after three years and a report presented to the Faculty. Thereinafter, the policy will be reviewed every five years.