



Senate Summer Project

**Toward Successful Implementation of the Open Access
Policy**

Igor A. Shovkovy

Professor, College of Integrative Sciences and Arts

Over the last ten to fifteen years, many research universities in the United States and Europe have adopted various types of open access policies. Typically, such policies request the archiving of pre- or post-refereed journal articles written by the faculty members on the web in designated open access repositories. Such policies promote the mission of research universities of providing a wide access to the new knowledge. They are also in line with the requirements of many funding organizations that mandate the open access to the research outcomes resulted from their support. At the Arizona State University, the commitment to open access was first declared in October 2010 by the Librarians Assembly. In Spring 2017 the official ASU open access policy was passed by the University Senate and approved by the Provost. The next step is the implementation of the policy. The goal of this report is to overview the potential challenges, as well as to provide insights and recommendations from research faculty that could help a successful implementation of the open access policy at the ASU.

1. INTRODUCTION

In addition to educating students, one of the key university functions is to produce and disseminate knowledge. The new knowledge produced by the research activity of faculty members is most commonly published in the form of peer-refereed articles in professional journals. Other forms of research publications may also include non-refereed articles, articles in conference proceedings, invited and contributed reviews, book chapters, monographs, theses, etc.

Traditionally, the access to scholarly published work has not been free of charge. This was part of the business model, in which the scholars themselves did not pay any fees for publishing the results of their research. Because of the substantial costs incurred in the production of high quality professional journals, however, publishing houses had to recover their expanses though the subscription fees. Typically, the latter were paid by the libraries of research universities. Under such a model, therefore, most research publications were readily available (open) to the academic community, but not to the general public.

While the leading research universities could afford the constantly growing cost of journal subscriptions and, thus, get the full access to and benefit from the cutting-edge research outcomes, the smaller universities were often left behind. (The problem was taking even larger proportions on the global scale because the universities in developing countries were effectively excluded from the selective club with open access to the most recent research outcomes.) Over the last several decades, this traditional business model started to be questioned.

The fairness and effectiveness of such a model can be debated. In this connection, it is important to recall that the lion's share of research performed at universities is supported by tax payers in the form of grants. Most of the tax payers, however, have no access to the publications that report the outcomes of research work done. Under such a model, one can also question whether the universities truly embrace their mission of disseminating new knowledge when the research publications authored by their faculty remain inaccessible to a wide audience.

While not perfect, the traditional model used to work reasonably well. The great advances in natural and social sciences, as well as in humanities and arts are the undeniable proof of that. Nevertheless, it is natural to ask whether there is a better and more efficient business model in the new information age. The main goal of such a model would be to provide a wider access without jeopardizing the high-quality of academic publishing.

With the development of internet and digital publishing, numerous new models have been proposed that promised a much wider access. Admittedly, some of them were predatory, others lacked the proper peer-review process, or failed to enforce the basic high-quality publishing standards. However, there were also very successful examples of new business models that managed not only to meet the highest quality, but also provided various types of open access to the research publications (Swan 2012). Some of them are hybrid models that still rely in part on the subscriptions fees, but do not prevent the open access to the authors' pre-publication copies of the published manuscripts. Others secured funding from non-profit organizations and partnerships of multiple academic institutions/libraries and, thus, could afford the open access free of charge.¹

Over the years, many leading publishing houses started to widely embrace new business models.² In many cases, they are hybrid models that utilize fixed-term embargos during which access to academic journals is not allowed. It is fair to say, though, that the changes in the industry were not always happening smoothly. At the beginning, the concept of open access was fiercely attacked by the public relation companies, working on behalf of organizations such as the Association of American Publishers, see for example (Giles 2007). Over the years, much great progress has been made in expanding open access, although it is still not uniform across various academic disciplines.

¹ An example of such a partnership is SCOAP³ (Sponsoring Consortium for open access Publishing in Particle Physics). For details, see <https://scoap3.org>.

² The policies of most publishers regarding the self-archiving of journal articles on the web and in open access repositories can be verified in the SHERPA/RoMEO searchable database at <http://www.sherpa.ac.uk/romeo/search.php>.

2. OPEN ACCESS IS HERE

Historically, the concept of open access became inevitable after the digital revolution in 1990s. This was the time when a widespread use of email and internet made searching, sharing and archiving digital information easy and inexpensive. The first online repositories, such as arXiv.org in physics (which started in 1991 under the name xxx.lanl.gov) and RePEc.org in economics (which started in 1993 under the name NetEc), appeared and quickly became very successful. By now, arXiv.org contains over 1.3 million open-access research e-prints in physics, mathematics, computer science, quantitative biology, quantitative finance and statistics. Similarly, RePEc.org provides links to over 2.3 million research pieces from 2,800 journals in economics and related sciences. It should be noted that a large fraction of the papers in the online repositories such as arXiv.org, RePEc.org and others are the author copies of research articles published in peer-refereed journals.

Currently there are about 500 different open access repositories in the United States. The up-to-date list of registered repositories can be found, for example, at *OpenDOAR* (the Directory of Open Access Repositories, <http://www.opendoar.org>). In fact, according to ROARMAP (The Registry of open access Repository Mandates and Policies, <http://roarmap.eprints.org>), over a hundred of such open access repositories are hosted by colleges and universities. While many of them have adopted official open access policies, others simply declared their commitment. In this connection, it is appropriate to mention that the Arizona State University has been on the ROARMAP list since October 2010 (see <http://roarmap.eprints.org/446/>) when the Librarians Assembly of ASU Libraries passed an [Open Access Resolution](#) declaring their commitment to open access and created the local digital repository (<https://repository.asu.edu>).

With so much progress made, it would seem surprising that the official open access policy passed by the University Senate in Spring 2017 may cause any controversy at all. It appears, however, that there are faculty members who are skeptical about the benefits and/or the feasibility of a successful implementation of the open access policy at the ASU. This was already hinted by the results of the vote on the [Senate Motion 2017-46 Open Access Policy](#): out of total 88 senators voting, 77 (or 87.5%) voted in favor of the policy, while 7 (or 8%) voted against and 4 (or 4.5%) abstained. (For the policy details, see Appendix A.) Although the majority supported the policy, it is of critical importance to understand the concerns of the university senators (12.5%) that did not vote in favor of the open access. If those concerns are valid, addressing them will be essential for a successful implementation of the policy.

In the pursuit of a deeper understanding of the issue, it is invaluable to review the lessons learned from the implementation of various types of open access policies at other universities over the last ten years. It is found (Armbruster 2011) that the success of such policies depends on the available support and infrastructure, the enforcement of clear and consistent depositing policies, the added functionalities of the repositories, the regular use of repositories for other university functions (e.g., the annual reviews and promotions) and many other details. Also, the long-term success is impossible without a dedicated library staff, a select number of faculty champions and a sustained effort from the university administrators (Miller 2011).

As often happens when breaking old traditions, even the most perfect and well-thought policy is likely to face an opposition. In the case of open access, the reasons may vary from a simple misunderstanding of the policy implications to a strong belief in its detrimental long-term consequences on the quality of research publishing. As argued below, this is exactly the prevailing concerns of the university senators (as well as some faculty members that they represent) regarding the ASU open access policy.

The other common misunderstanding is related to the copyright policies and their implication for the open access. The confusion is caused by the incorrect assumption that the copyright is automatically violated by archiving papers at open repositories. As a matter of fact, this is not the case. Moreover, the authors or publishers (i.e., original copyright owners) retain copyright. The repositories only get non-exclusive rights to reproduce and/or distribute the papers for non-commercial, academic purposes. This also applies to the ASU Digital Repository (the details of its policies are given in Appendix B).

Before proceeding further, it is quite instructive to analyze the representative set of arguments against the open access that was published by Rose Eveleth several years ago in *The Atlantic* magazine (Eveleth 2014). The author argues that the free access does not benefit everyone. In essence, the main rationale is centered around the idea that “somebody has to foot that bill”. Also, the author makes several critical assumptions that are only partially true at best. Some of the tacit assumptions are: (i) the open access is synonymous with the gold open access³, (ii) the open access journals have low impact factors, (iii) the high impact factor journals cannot afford open access. As a matter of fact, these assumptions are not valid in general.

In addition to the gold open access, there exist many other types of open access (Swan 2012). Among the most common ones are, in fact, the yellow and green open access when the authors can freely archive the pre-refereed and sometimes even post-refereed copies of their papers in open repositories. In fact, these are usually the types of open access assumed by colleges and universities when they adopt their policies.

Concerning the impact factors, there is a common folklore that the open access journals must have low impact factors. This is partially true and easy to understand. Most open access journals were established only recently. Unlike the journals that have been around for decades or even centuries, they do not have as much history of their own. It is only natural that, on average, their status is not the same yet. This is not to imply, however, that the open access journals cannot have high impact factors. In physics (which is the research field of this author), for example, there are already many respectable open access journals (e.g., *New Journal of Physics*, *Physics Letters B*, *Journal of High Energy Physics*, etc.) with relatively high and constantly growing impact factors. Some of them charge the publication fee, others rely on funding from third parties.

Finally, it is indeed the case that many leading research journals, such as *Science* and *Nature*, do not allow the gold open access free of charge. Despite the common belief, though, many leading research publishers do allow either green or yellow open access. According to SHERPA/RoMEO database, for example, the authors of *Nature* have the

³ The gold open access implies that the published articles are freely available immediately after they are published. The publication fee is often paid by the authors or a third party.

right to archive the pre-print version (i.e., the pre-refereed copy of their paper) right away, and even the post-print version (i.e., the final post-refereed draft) after only 6 months of embargo. Only the publisher's electronic version of the article cannot be archived. In the case of *Science* journal, it also does not allow the archiving of the publisher version of the article, but the pre- and even post-print versions can be archived right away and no embargo applies. For sample print-outs of the open access policies of *Science* and *Nature* journals, obtained via SHERPA/RoMEO, see Appendix C.

To understand the specific concerns of the ASU research community regarding the open access policy, in Summer 2017 the author of this report conducted an independent survey of the university senators. The survey and its analysis are described below.

3. OPEN ACCESS SURVEY

By design, the open access survey was made very short and simple. The questions were formulated in the form of very carefully crafted assertions about the open access and implementation features. The author used the platform of www.SurveyMonkey.com to create a basic survey with the following 10 multiple-choice questions/statements:

1. The open access policy will increase the visibility and impact of research performed at ASU
2. Depositing manuscripts to the ASU Digital Repository should be made as simple as possible
3. Whenever possible, the ASU library should harvest content from web sites to which the ASU faculty already make deposits
4. Providing open access to peer-reviewed manuscripts through the ASU Digital Repository may create problems for authors (explain briefly)
5. The library should inform the authors of the publishers' policies and apply those policies automatically to the manuscripts archived
6. The success of the open access policy will depend on the benefits that the Digital Repository can offer (usage tracking, citations, search options, text mining, etc.)
7. Whenever possible, open access should also apply to research data and software
8. All things considered, the open access will benefit the ASU authors
9. All things considered, the open access will benefit the reputation of ASU
10. Your name and contact information

(The original link to the survey is <https://www.surveymonkey.com/r/KH25JHT>.)

The first nine questions allowed one of the following answer choices:

1. strongly disagree
2. disagree
3. neither agree, nor disagree
4. agree
5. strongly agree

The last question asked for the senator's name and the ASU unit represented. At the end of each question, there were also free-text boxes, in which the university senators were encouraged to submit related comments of their own, as well as those of the faculty members that they represent.

The request to fill out the survey was sent to the ASU university senators of the 2017/2018 academic year. (The total number of the university senators contacted was 112.) Several weeks after the original request, a reminder was sent as well. After about 8 weeks, there were 54 responses collected. Out of those, 38 people left their names and contact information, while the other 16 responded anonymously. The responses to the survey are reported and analyzed below.

The summary of the multiple-choice responses is given in Table 1. The columns Q1 through Q9 correspond to the corresponding questions (see the list above). The rows A1 through A5 correspond to each of the possible answers from "strongly disagree" to "strongly agree", respectively. The numbers in the table cells represent the total number of senators who answered in that specific way. For example, 5 senators answered A1 ("strongly disagree") to question Q1 ("The open access policy will increase the visibility and impact of research performed at ASU").

Table 1: The summary of multiple-choice responses to the open access survey

	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9
A1	5	3	5	0	2	3	4	5	6
A2	3	0	3	8	3	2	8	1	1
A3	7	2	13	23	7	8	17	9	11
A4	23	14	13	11	23	16	12	23	18
A5	15	34	20	8	19	21	10	14	16

The visual representation of the same information is given in Figure 1. It contains a lot of information and, thus, may be hard to comprehend at once. It is instructive, therefore, to have an overall summary of responses to each individual question on the survey. Such a summary is given in the form of average scores to each question in Figure 2. The numerical values range from 1 ("strongly disagree") to 5 ("strongly agree").

4. ANALYSIS OF DATA

It is instructive to review the responses to each of the questions in the survey. Let us start from Q1 "The open access policy will increase the visibility and impact of research performed at ASU". Despite being a seemingly noncontroversial statement, 8 (or 15%) out of 53 senators disagreed or strongly disagreed with it. The reasoning behind their

disagreement could be partially understood by reviewing the comments submitted along with the question. (The data should be interpreted with caution, though, because not all senators submitted comments.) The transcript of all comments can be found in Appendix D. After reviewing all comments to Q1, one finds that the skepticism has several roots: (i) the public will not be the benefactors of the open knowledge anyway, (ii) the pay model for the open access cannot work, (iii) the open access will also cause (unspecified) problems.

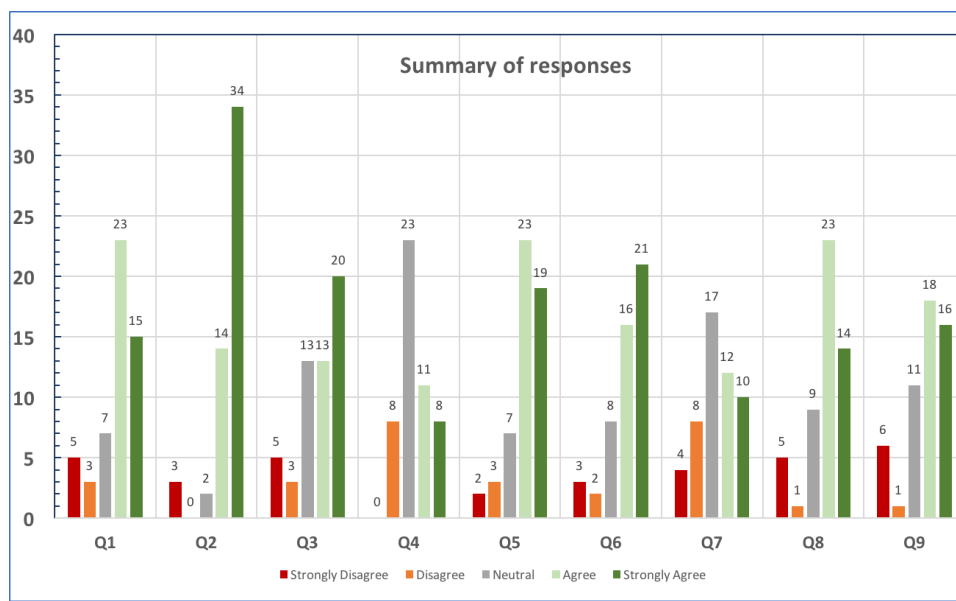


Figure 1: The summary of the responses to the open access survey

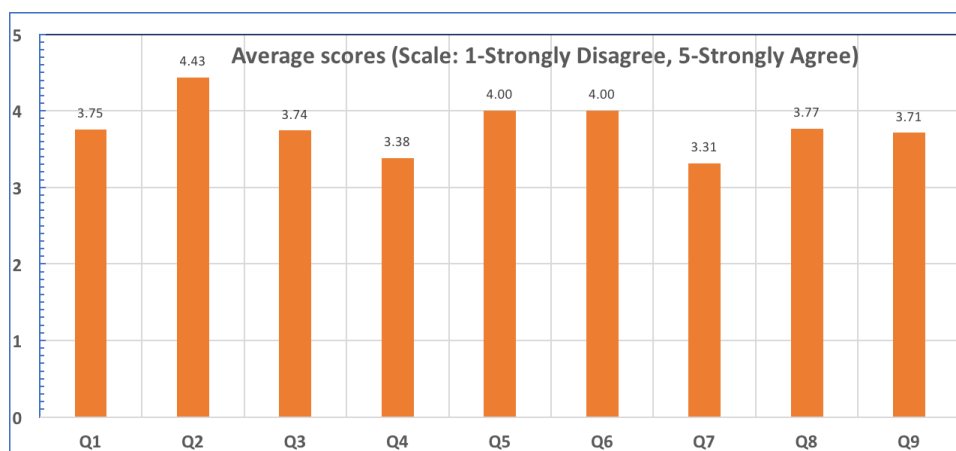


Figure 2: The average response score to each individual question in the open access survey (on the scale from 1 — “strongly disagree” to 5 — “strongly agree”)

The next two questions are addressing two specific implementation issues that were emphasized in case studies, see for example (Duranceau and Kriegsman 2013). As is easy to understand, the success of the open access policies often correlated with the ease of depositing papers to local repositories. So, the next question was Q2 “Depositing manuscripts to the ASU Digital Repository should be made as simple as possible”. This

caused little controversy indeed. Only 3 out of 53 survey participants disagreed. Very few comments were added. However, one of them is worth highlighting, i.e., “getting permissions from journals that hold rights, as opposed to the author chasing them down” should be part of the repository service. This is indeed an important idea that was anticipated. It is covered separately by Q5 of the survey (see below).

The other question regarding the implementation of the policy is Q3 “Whenever possible, the ASU library should harvest content from web sites to which the ASU faculty already make deposits”. By noting that a large fraction of authors already archive their research papers in open repositories on the web, such as arXiv, RePEc, PubMed Central and others, it is reasonable to suggest that, with the authors’ permission, the university repository should harvest such papers automatically. In practice, this is truly just a matter of efficiency and productivity. Somewhat surprisingly, there was more pushback to this idea than to Q2: 8 (or 15%) out of 54 senators disagreed or strongly disagreed with this. The comments (see Appendix D) reveal that the main concern here stems from a perceived loss of control by faculty over the flow of content. This is indeed a valid concern when no details of implementation are specified. If the basic control tools are provided (e.g., in the form of single-click permissions, or the permission profiles of individual authors), the harvesting feature of the repository could be very useful and, most likely, acceptable to all faculty.

One of the most important questions in the survey was Q4 “Providing open access to peer-reviewed manuscripts through the ASU Digital Repository may create problems for authors (explain briefly)”. The level of disagreement with this statement was high and on par with that in Q1. As one can see from Figure 2, the average score for Q4 was the lowest (except for question Q7, which addressed a very sensitive issue of open access to research data and software). As is clear from a large volume of comments, many university senators believe that the issues with the copyright could cause problems for authors. Other common sentiments were related to the perceived low prestige of the open access journals and the danger of losing the high quality of traditional research publishing. One might be tempted to dismiss these concerns as unjustified. Indeed, all of them can be easily addressed in practice and resolved. However, there is an important lesson to be learned here. The university senators, who are the faculty champions, happen to know very little about the open access and the numerous new publishing models that are already widely adopted. If not properly addressed, this ignorance could be detrimental for a successful implementation of the ASU open policy.

Question Q5 states that “The library should inform the authors of the publishers’ policies and apply those policies automatically to the manuscripts archived”. The policies of most publishers about open access are public knowledge and readily available at the libraries. Unlike the authors, who are often unaware of the specific policies, the ASU library could easily control the access to the research publications, enforce embargos and keep track of pre- and post-refereed copies of papers. This is a critical service that could make the repositories successful without much burden to faculty. This idea was well received and had very few objections. Judging from the comments, the few concerns received might have been caused simply by lack of understanding how the library could apply the publishers’ policies.

Another important part of successful university repositories is various built-in functions (usage tracking, citations, search options, text mining, etc.) that could be used by faculty on a regular basis. Thus, question Q6 was “The success of the open access policy will depend on the benefits that the Digital Repository can offer (usage tracking, citations, search options, text mining, etc.)”. As might have been expected, most university senators agreed with this. There were a few cautious objections, but their basis does not appear to be very clear from the comments submitted.

One of the big ideas that has been around for a long time is related to the open access to research data and software. So, question Q7 was “Whenever possible, open access should also apply to research data and software”. Quite understandably, this appeared as a rather controversial idea to many senators. Out of 51 responses, 12 (24%) disagreed with the proposal. In the comment boxes to Q7, some specific and well-justified objections were expressed. By considering the outcome of the survey, it would be prudent to cautiously explore the idea, but delay its full-featured implementation until the main concerns about various types of research data are understood and resolved.

The next two questions were probing the perceived overall benefit of the open access to the ASU authors and the reputation of ASU: Q8 “All things considered, the open access will benefit the ASU authors” and Q9 “All things considered, the open access will benefit the reputation of ASU”. The level of (dis-)agreement with these statements were similar: out of 52 university senators, 6 (7) disagreed and 37 (34) agreed. Surprisingly many responders expressed the opinion that the potential benefits are conditional on the specific implementation details of the policy.

5. RECOMMENDATIONS

The information in this report regarding the open access, its implementations at other universities, as well as the analysis of the survey responses strongly suggests that the success of adopting the ASU open access policy may be a difficult task. Its outcome will greatly depend on using the best practices and insuring that all interested parties (i.e., faculty, students, university, public, publishers, etc.) benefit from the policy. By taking everything into account, including the concerns of the university senators, we can put forward the following recommendations:

1. To have the full support of the ASU community, the current deeply ingrained misconceptions about open access should be thoroughly addressed. The details of the policy and its implications should be explained in different ways and via multiple outlets. A continuing educational effort should be sustained until the policy is fully implemented.
2. To have a truly useful resource, the functionality of the ASU digital repository should be strongly enhanced, e.g., by adding advanced search engines, author profiling, citation reports, viewing and reading statistics, cross-linking the content with other resources, etc.
3. To promote its use, the ASU digital repository should be made as user friendly as possible. Most importantly, the key interface functions related to depositing (as well as extracting) digital documents should be made as simple as possible.

4. To save time and boost the efficiency, the automatic harvesting of articles authored by the ASU faculty from the web should be made possible. At the same time, the faculty should have a control over the content collected. The latter could be implemented, e.g., via single-click permissions or pre-build permission profiles that control the collection of data.
5. To reduce the burden for the authors, the implementation of the publisher-specific policies/permissions regarding the access to various forms of digital publications should be automated whenever possible. When available, multiple versions of the same papers (e.g., pre- and post-refereed) should be properly labeled and handled according to the policies that apply.
6. The culture of using the ASU digital repository should be promoted via its use in other university functions (e.g., annual reviews, promotion reviews, etc.)
7. A pilot project of storing suitable research data and software should be launched and tested.
8. The implementation status of the open access policy should be reviewed on a regular basis and reported to faculty.

Bibliography

- Armbruster, Chris. 2011. "Open Access Policy Implementation: First Results Compared." *Learned Publishing* 24 (3).
- Duranceau, Ellen Finnie, and Sue Kriegsman. 2013. "Implementing Open Access Policies Using Institutional Repositories." In *The Institutional Repositories: Benefits and challenges*, edited by Pamela Bluh and Cindy Hepfer, 75-97. Chicago: American Library Association.
- Eveleth, Rose. 2014. "Free Access to Science Research Doesn't Benefit Everyone." *The Atlantic*, December 22.
- Giles, Jim. 2007. "PR's 'pit bull' takes on open access." *Nature* 445: 347.
- Miller, Jonathan. 2011. "Open access and liberal arts colleges: Looking beyond research institutions." *College & Research Libraries News* 72 (1): 16-30.
- Swan, Alma. 2012. *Policy Guidelines for the development and promotion of open access*. Paris: UNESCO.

APPENDIX A: ARIZONA STATE UNIVERSITY OPEN ACCESS POLICY

Arizona State University

University Senate

Senate Motion #2017-46

Motion Introduced by: open access Task Force, Helene Ossipov Chair

Date of First Reading: February 27, 2017

Date of Second Reading: March 27, 2017

Title of Motion: ASU open access Policy.

Action Requested: The open access Task Force has reviewed this motion and recommends Senate approval.

Rationale: ASU is committed to a fundamental principle of accessibility. This principle of accessibility includes open access to the knowledge generated and created by faculty members here at the university. open access to the scholarly works produced by ASU faculty members will allow individuals in Arizona, in the United States, and internationally to read journal articles freely and without the need for subscriptions or payment, thus disseminating this knowledge well beyond the typical audience. Moreover, many granting agencies require that an institution have an open access policy in place in order for researchers to receive funding.

[Click here](#) to go to the open access Task Force webpage and FAQs

Proposed Policy:

The Faculty members of Arizona State University are committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the Faculty adopts the following policy.

1. Faculty members are encouraged to grant a non-exclusive, irrevocable, worldwide, royalty-free license to Scholarly Works to Arizona State University to exercise any and all rights under copyright as are necessary to achieve the goals of open access, dissemination, and preservation and to authorize others to do the same, provided that this license is solely for educational and non-commercial purposes. When granting this license, Faculty members will provide, at no cost to the university, a copy of those Scholarly Works to the university so that the university may exercise its rights given by this license and comply with its obligations to sponsors or other third parties. This expressly includes the right for the university to deposit Scholarly Works in any university or third party repository.

2. However, upon accepting or receiving an external grant or contract which includes a public or open access policy, each Faculty member automatically grants to Arizona State University the license as defined in section one to any Scholarly Works resulting from that grant or contract.

3. Under this policy, the author retains copyright ownership, unless that author chooses to transfer rights to other parties, such as a publisher. Arizona State University retains only the limited rights outlined in section one.

4. The policy applies to all Scholarly Works authored or co-authored while the person is a member of the Faculty. Not included in this policy are 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, nor any Scholarly Work that is not related to Arizona State University.

5. The Office of the Provost will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty as needed.

6. The University Senate will review the policy no less frequently than every three years and a report will be made available to the Faculty.

Actions: Approved

Admin Response: Approved

Provost office memo:  [provost-approval-for-sm-2017-39-40-41-44-45-46.pdf](#)

APPENDIX B: ASU DIGITAL REPOSITORY LICENSING POLICY

Copyright Overview

The goal of the Arizona State University Digital Repository is to make our collections as widely available as possible for non-commercial use. The Digital Repository includes both public domain materials and copyrighted works. Copyrighted works are included when the University holds the copyright or has permission to use the work, or when the use fits within fair use or another exemption specified in the copyright law. The conditions of use for the end user may vary, depending on the copyright license statement chosen by the copyright owner.

Authors/Contributors

1. Copyright owners retain copyright over items deposited in the ASU Digital Repository. The ASU Digital Repository does not seek or claim copyright on any deposited works, nor does it seek revenue from deposited works.
2. Copyright owners will grant non-exclusive rights to the ASU Digital Repository to reproduce and/or distribute the submission (including the metadata and abstract) worldwide, in any format or medium for non-commercial, academic purposes only.
3. Copyright owners will grant the ASU Digital Repository the non-exclusive right to migrate the submission, without changing the content, to any medium or format, and keep more than one copy of the work for purposes of security, back up and preservation.
4. The author has the option to request an embargo period during which the content of the item will not be publicly viewable.
5. When submitting a work to the ASU Digital Repository, submitters will be asked to warrant:
 1. They are either the copyright owner of the work, or they have permission from the copyright owner(s) to submit the work.
 2. The work does not infringe any copyright, patent, or trade secrets of any third party, and does not contain any libelous matter, nor invade the privacy of any person or third party.
 3. The work has not been sold, mortgaged, or otherwise disposed of, and is free from all exclusive claims.
6. Copyright owners will have the option to append a copyright license statement, such as Creative Commons Licenses, to their work to make explicit permitted uses.

APPENDIX C: SAMPLES OF COPYRIGHT AND SELF-ARCHIVING POLICIES OF LEADING JOURNALS

Below are print-outs of sample copyright and self-archiving policies adopted by *Science* and *Nature* journals, obtained from SHERPA/RoMEO searchable database, <http://www.sherpa.ac.uk/romeo/search.php>.


SHERPA/RoMEO

... opening access to research

[Home](#) • [Search](#) • [Journals](#) • [Publishers](#) • [FAQ](#) • [Suggest](#) • [About](#)

Search - Publisher copyright policies & self-archiving

[English](#) | [Español](#) | [Magyar](#) | [Nederlands](#) | [Português](#)

One journal found when searched for: **0036-8075**

Journal:	Science (ISSN: 0036-8075, EISSN: 1095-9203)
RoMEO:	This is a RoMEO green journal
Author's Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Author's Post-print:	✓ author can archive post-print (ie final draft post-refereeing)
Publisher's Version/PDF:	✗ author cannot archive publisher's version/PDF
General Conditions:	<ul style="list-style-type: none"> Pre-print may be considered prior publication Pre-print on not-for-profit preprint servers where allowed, please contact editors for clarification Cannot archive until publication Authors retain copyright On author's personal website or institutional repository Publisher's version/PDF cannot be used Must link to publisher version Set statement must accompany post-print (see policy) Published source must be acknowledged with DOI Authors covered by funding agency rules, may post author's post-print in PubMed Central or funder's designated repository after a 6 month embargo Authors covered by funding agency rules, must state on submission, for article to be released in PubMed Central or funder's designated repository after 6 months after publication.
Mandated OA:	Compliance data is available for 23 funders
Copyright:	License Agreement (pdf) - PMC policy - Pre-print comment - General Information for Authors
Updated:	22-Apr-2016 - Suggest an update for this record
Link to this page:	http://www.sherpa.ac.uk/romeo/issn/0036-8075/
Published by:	American Association for the Advancement of Science - Green Policies in RoMEO

This summary is for the journal's *default* policies, and changes or exceptions can often be negotiated by authors.
All information is correct to the best of our knowledge but should not be relied upon for legal advice.


SHERPA/RoMEO

... opening access to research

[Home](#) • [Search](#) • [Journals](#) • [Publishers](#) • [FAQ](#) • [Suggest](#) • [About](#)

Search - Publisher copyright policies & self-archiving

[English](#) | [Español](#) | [Magyar](#) | [Nederlands](#) | [Português](#)

One journal found when searched for: **0028-0836**

Journal:	Nature (ISSN: 0028-0836, EISSN: 1476-4687)
RoMEO:	This is a RoMEO yellow journal
Author's Pre-print:	✓ author can archive pre-print (ie pre-refereeing)
Author's Post-print:	✗ subject to Restrictions below: author can archive post-print (ie final draft post-refereeing)
Restrictions:	<ul style="list-style-type: none"> 6 months embargo
Publisher's Version/PDF:	✗ author cannot archive publisher's version/PDF
General Conditions:	<ul style="list-style-type: none"> Authors retain copyright Author's pre-print on arXiv or bioRxiv Author's post-print on author's personal website, institutional repository, PubMed Central or funding body's archive Published source must be acknowledged Must link to publisher version with DOI Publisher's version/PDF cannot be used
Mandated OA:	Compliance data is available for 28 funders
Copyright:	Pre-publication policy - License to Publish - Manuscript Deposition Service
Updated:	09-Dec-2014 - Suggest an update for this record
Link to this page:	http://www.sherpa.ac.uk/romeo/issn/0028-0836/
Published by:	Nature Publishing Group - Yellow Policies in RoMEO

This summary is for the journal's *default* policies, and changes or exceptions can often be negotiated by authors.
All information is correct to the best of our knowledge but should not be relied upon for legal advice.

APPENDIX D: COMMENTS SUBMITTED WITH THE SURVEY

Comments to Q1: *The open access policy will increase the visibility and impact of research performed at ASU*

- there is skepticism that the general public will actually be the benefactors of the availability of knowledge.
- According to a colleague: in many ways, I'm against open access publishing, because it has turned into a system whereby the authors pay to publish. In many (if not most) cases, anyone can get published if they pay the fees. This seems to have diluted the academic value and rigor of the work that's been done. I appreciate the idea of having open access to research, but many of the open access publication models are problematic in that: 1) pay to publish, and the publishers are therefore more eager to accept papers and 2) in all the open access journal invitations I get, the authors are duly noted, so that it is not a blind refereeing process.
- Given how available everything is, especially for college and university people who may be especially interested, I'm remain unclear how directly linking in ASU is of any help--especially since in this day and age, many will not remain at ASU.
- I have noticed that scholars in my field are more challenged than ever to access relevant articles in their fields. This is especially so with respect to colleagues outside of the US. Even in the US, the ability to see an article in its entirety before ordering via ILL should make a difference.
- This will increase visibility, yes, since according to the library page, "Anyone in the world can find materials in the ASU Digital Repository using internet search engines or the ASU Library Catalog." This also opens up many potential problems.
- i dont know what the policy is

Comments to Q2: *Depositing manuscripts to the ASU Digital Repository should be made as simple as possible*

- Don't know about ASU Digital Repository
- Including getting permissions from journals that hold rights, as opposed to the author chasing them down.
- yes, with secure safe guards.

Comments to Q3: *Whenever possible, the ASU library should harvest content from web sites to which the ASU faculty already make deposits*

- There should be a formal process that starts with transparency and collaboration with the faculty
- Views of some colleagues: We will like to know much control the author(s) will have over what is included in the repository. Will the harvested content go through a final approval process before added to the site?
- We need to make academic articles available for all
- Harvest? Does this mean promote work that appears on prestigious sites or just repurpose/use work that appears anywhere?? (You can see I would probably support the former and not support the latter...)
- Need to better understand the implications of this
- Faculty upload formatted and pre-formatted versions to various sites, so how would this be managed?

Comments to Q4: *Providing open access to peer-reviewed manuscripts through the ASU Digital Repository may create problems for authors (explain briefly)*

- Many authors do not know the agreements they have made w/the publishers when they publish. Altogether, it seems like there is the potential for problems to arise. It could create unnecessary work to try to figure out logistics, and many authors and other ASU community members are already being asked to do more with less.
- Views of some colleagues: If the manuscripts are published already, we don't see a problem for the author in terms of visibility. It is more of a benefit, as a wider audience, including practitioners and the general public, will have access. On the negative side, more journals may start charging for submissions as their business model could be affected.
- I'm not sure exactly what you are referencing. I do have a concern that if we decide to publish with a traditional journal that requires us to sign away our copyright, will ASU take it down from the site? or will the open access preclude our ability to publish in another journal?
- strongly agree - peer reviewed manuscripts usually are copyrighted by the publisher of the journal. "The stars are not working - when I highlight SA, all stars light up."
- Don't know what the Repository does.
- I am sure you worked this out, but I have concerns about how publishers will respond as some are very proprietary.
- Mathematics has its own preprint service, the math arxiv.
- I am not certain of the ramifications of this policy re; copyright.
- I see pros and cons but I think it is mainly a cultural issue. There are prestigious journals that carry weight and a researcher would have difficult time to abandon such a publication of a good result for the more ideological open access. Especially if tenure, promotion, the next proposal are argued based on the number of citations in prestigious journals (whatever that means). That is my guess but we need a lot more quantitative data and some successes and failures to see what really works.
- Not all journals allow authors to retain rights to redistribute rights to their work. I can see some scholars looking "bad" because they don't have a ton on open access.
- Not sure what this question is getting at.
- place some safe guards
- I'm not sure how those who spend the time and effort on, let alone take responsibility for, producing and housing peer-reviewed publishing react to these sorts of requests or requirements. It is not as though the scholarship is not readily available in other formats.
- Yes, there are cases where open access may be infringed on other agreements with publishers.
- If authors do not have sufficient funds to pay open access fees to the publishing journals, providing open access through the ASU repository could result in copyright infringements (depending on the timing of posting in the repository).
- This has been a huge issue for our graduate students and for our ****recruitment**** of grad students: often our students depart ASU with publishable mss.; it is NOT common (at any comparable institution (peer/aspirational peer, or LESSER)) to make these manuscripts freely available and thus remove from students the possibility of publishing out of the gate. And additionally, it can hurt their chances at real publication and at EMPLOYMENT if their theses are "published" by ASU and thus disqualified from the kind of publication that actually seeks and attracts readers, awards, etc. We do NOT gain enough 'value' via the repository to make it at all worth what our students LOSE. It is detrimental to ASU and our national reputation and our recruitment of new students when we insist on this publication which in fact is NOT at all equivalent to real publication but which disqualifies students from real publication.
- Perhaps, but I'm not sure

- ASU's open access policy may conflict with publishers' copyright restrictions, sometimes difficult to parse for faculty not well-versed in copyright law.

- Need to make sure authors are credited for number of views/downloads.
- That only applies to the final versions of manuscripts. However, we have been discussing the final author-made version, not the press-produced published version. Since page numbers between the two do not match, the former is not citable. Therefore, its availability to others should not be an issue for the press and thus the author. Specialists would still need the published version for citation purposes while non-specialists would likely not pay for the journal anyway.

- I'm seriously confused after reading this proposal as to how this would work. For example, I sit on the editorial board of a journal and it costs \$2300 to make one's article open access. The journal owns that copyright (regardless of what is stated here about ASU owning the copyright). So the repository would only be for materials that are already open access? Or ASU would pay to make articles open access? Because there's no way to upload something open access to and ASU repository unless the rights are bought from the journal and posting a PDF in the manner described would be in violation of copyright.

- Copyright limitations enforced by publishers.
- It could cause some publications to balk at accepting publications from faculty at places where these rules are in place.

- May conflict with copyright law
- My answer is strongly agree, I'm having thy system is not accepting my strongly/agree (probably because I clicked by mistake strongly disagree, sorry). The issue is that this practice can violate copyright and embargoes. Most journals and authors want to disseminate the work as much as possible, but publishing is not free and some journals cannot afford to give up material for free. If there are less journals were to publish, faculty will have a hard time finding venues for their research. We need to think about this very seriously.

- It is unclear at what stage the ASU DR is requesting copies. Even "clean, accepted" copies (which is what the repository is requesting), may undergo some minor revisions when they reach the formatting stage. It may also be a concern for authors to have multiple versions (e.g., the pre-formatted version, the formatted and published version) of their publications floating around on the internet. This raises the issue of the integrity of an author's research. Publishers may have policies regarding making forthcoming or in-press publications open access, so this must be handled carefully.

- I assume you mean the versions (draft manuscripts) that meet legal requirements with publishers, not the final published articles.

- dont know

- not if the submitted versions are posted

Comments to Q5: *The library should inform the authors of the publishers' policies and apply those policies automatically to the manuscripts archived*

- If you mean regarding articles published already where the author has assigned away their copy right so they can't publish the full text, then yes (strongly agree)

- Another vague statement

- If a publisher does not want this sort of archiving, what then is ASU's response? Not sure it's up to the library to let the author know but of course ASU should follow publisher's guidelines.

- I don't even know what "publisher" this refers to? ProQuest? Obviously those policies should be CLEAR, but also why would the library serve the interests of a "publisher" over the interests of our students?

- "Automatic" bothers me. Authors should be informed and then sign off
- sounds cumbersome for the library
- If we are talking about the published, citable versions, then, yes, embargo periods will apply.

- I'm not sure I understand the question. Yes to the first part, not necessarily to the second.

- Yes this is important to avoid the problems I outlined in the previous question.

Comments to Q6: *The success of the open access policy will depend on the benefits that the Digital Repository can offer (usage tracking, citations, search options, text mining, etc.)*

- Views of some colleagues: Some of these may be important - search options for instance. Tracking would be useful, for instance to see how many times an article was downloaded. Citations are offered through other cites, so may be less important here.

- It is important to track views and downloads and distinguish between "clicks" and actual views.

- Search ability is paramount.

- Yes, assuming that it is embraced by the community and used effectively.

- I understand ASU's ambitions as a leader / innovator in the world of academic advancement, but---to be a leader here means to presume a certain system will win at the expense of our students, which seems to me mistaken on both counts.

- Let's not measure everything quantitatively. What truly matters is that the information is available so that it can be accessed when desired/needed.

- This is perhaps the part that has been missing for faculty: a discussion of the benefits for authors/researchers (e.g., tracking, citations, visibility).

- dont know what the policy is

Comments to Q7: *Whenever possible, open access should also apply to research data and software*

- Views of some colleagues: For large national datasets, perhaps, with guidelines for use and information on the limitations and scope of the data. For local data, there is a risk the data will be used/interpreted in ways not intended by the original researcher. The anonymity of data also could be compromised.

- absolutely not

- But with caveats. There is a huge cost to collecting data. Researchers should only be required to make this available to others after they have exhausted its use for their own publications. With regard to software, making software available usually assumes some form of documentation and upkeep. This is a burden to a researcher.

- yes when publicly funded. But with all the promotion of entrepreneurial activities, this will be a very sticky and debatable issue.

- A publicly accessible repository for data and results is a requirement for NASA and NSF proposals.

- There are a multitude of complex issues and I'm not adequately qualified to pass judgment with regards to a guiding principle. Aside from the obvious intellectual property, legal and ethical issues, different scientific communities have different cultures with regards to

sharing. In principle, openness is a good thing. But let's not simplify an immensely complex matter.

- I think "open access" as a value varies by field, and there is NOT one right answer.
- Probably
- This is not applicable in my field.
- A great idea in a world where everyone is required to do this.
- This could violate IRB standards. How could a scholar ensure privacy if the data is going to be made available. This is a huge issue for social science qualitative research.
- It would be good to educate scholars at ASU about opportunities and practices to archive research data and software in public repositories.
- don't understand

Comments to Q8: *All things considered, the open access will benefit the ASU authors*

- Based on comments of a few of my colleagues, benefits need to be seen.
- Depends on how open access is implemented.
- the open access is more beneficial for students and researchers, but what is the authors' benefit?
- Good in principle, but I don't feel I know enough about the drawbacks. Maybe we will only find out if it is implemented.
- Yes, but more can be done.
- As a believer in the value of an individual author/maker/inventor (in addition to the value of shared resources) I still believe that open access does not equal, say, Net Neutrality, and we are ***not*** helping our researchers if we arbitrarily insist on making their work public outside the national universe of peer review and publication standards. In house and external will NEVER be the same.
- Probably
- It will not. This is a policy set to benefit the library, not authors.
- don't know

Comments to Q9: *All things considered, the open access will benefit the reputation of ASU*

- To some extent, yes.
- Yes, when I was working on my dissertation, I was very happy to find full academic article online and available
- Good in principle, but I don't feel I know enough about the drawbacks. Maybe we will only find out if it is implemented.
- Yes, in the sense that not having an open access policy is archaic.
- Probably
- If as discussed in the Senate faculty deposit an article as is accepted before it is professionally copy edited this can be a disaster. Everybody makes grammatical mistakes and has typos and knowing how critical faculty are one little mistake could be seen as a huge mistake. I will not deposit an article that has not been professionally copy edited.
- don't know

There were no **Comments to Q10:** *Your name and contact information*

- 38 people left their name and contact information, while 16 people did not