

Report of the University of Illinois

Open Access to Research Articles Act Task Force

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Executive Summary

On November 14, 2013, the University of Illinois Board of Trustees appointed a task force to address the requirements and questions formulated in Illinois Public Act 098-0295. The University of Illinois Open Access to Research Articles Task Force (OARAA TF) members represented the libraries in Chicago and at Urbana, members of the faculty from all three campuses, university administration, and the University of Illinois Press. Non-voting members included two additional publishers of scholarly journals, as well as individuals with legal and domain expertise. A list of members is provided in Appendix 2.

In preparation for its work and in compliance with the legislation, the Task Force explored the ways “peer institutions and the federal government are addressing issues related to open access” (Sec. 15.b.ii). A report is available in Appendix 2. Throughout its work, the Task Force reviewed current practices (15.a) and ensured that the proposed institutional policy on open access was consistent with steps taken by federal grant-making agencies (15.b.ii).

The Task Force considered “how the public university can best further the open access goals laid out in [Public Act 098-0295], whether by creation of an open access policy for the public university, creation of an open access policy for the State, or some other mechanism” (15.b.i). In recognition of the fact that such a policy is concerned with the work of the faculty, the University of Illinois University Senates Conference (USC) assumed responsibility for developing and recommending a policy to the faculty at the three campuses, as represented through the three campus senates. The USC is designing a proposed policy regarding open access to research articles, and framed that policy in a set of guidelines or principles. Per the governance documents of the University, the policy and accompanying documents will be forwarded by the USC to the senates for each campus for review. Each of the senates, after their deliberation, will transmit a set of suggested changes to USC. The USC will reconcile the comments of the three senates in a policy that will be forwarded to the campuses for a second review. After this iterative process, the policy will be transmitted to the President of the University of Illinois, who will request that the Board of Trustees adopt the policy (15.b.i). The policy will be publicly available via the Vice President of Academic Affairs and the websites of the three campus senates. A copy of the proposed policy in its current draft form is included in Appendix 1.

The Task Force considered the “academic, legal, ethical and fiscal ramifications of and questions regarding an open access policy” (15.b.iii). Each of the specific areas of consideration outlined in section 15.b.iii by Illinois Public Act 098-0295 is addressed in the following sections denoted as 15.b.iii.1-15.b.iii.10.

Based upon its consideration of these areas and criteria specific to the needs of the University of Illinois, and upon reviewing the draft USC proposed policy regarding open access to research articles, the Task Force affirms its support of the USC proposed open access policy as the proposed University of Illinois policy regarding open access to research articles (15a). The combined recommendations (explained in sections that

follow) are provided here:

15.b.iii.1. the question of how to preserve the academic freedom of scholars to publish as they wish while still providing public access to research;

1. That University of Illinois faculty continue to own copyright to their work and are permitted to license those works in ways they deem appropriate, including for example through the use of Creative Commons licenses.
2. That a University of Illinois open access policy must not impair the right of the faculty to choose the most appropriate publication venue.
3. That, when possible, University of Illinois faculty grant to the University of Illinois a nonexclusive license to make their articles available in the institutional repository.
4. That where copyright is owned by the University of Illinois (e.g., in works commissioned by the University), open access be provided.

15.b.iii.2. the design of a copyright policy that meets the needs of the public as well as of authors and publishers;

1. That an open access policy must be consistent with University of Illinois policies on copyright management, as represented in the *General Rules Concerning Organization and Procedure*.
2. That an open access policy should ensure that compliance by University of Illinois faculty does not cause faculty to violate copyright law, for example by providing open access to intellectual property owned by third parties (e.g., journal articles, photographs, maps, figures, charts, music, poetry, and long extracts included in the works of our faculty).

15.b.iii.3. the design of reporting, oversight, and enforcement mechanisms;

1. That if reporting on compliance to an open access policy is required, the reporting burden to faculty should be minimized.
2. That the University Administration coordinate with the campus faculty and administrative bodies in determining oversight of a University of Illinois open access policy.
3. That each campus Faculty Senate determine the appropriate faculty body for participation in oversight of a University of Illinois open access policy.
4. That the Provost from each campus designate the office or unit that would oversee a University of Illinois open access policy on behalf of the administration.

15.b.iii.4. the cost of maintaining and, where applicable, creating institutional repositories;

As all three University of Illinois campuses offer and maintain institutional repositories, the Task Force explored the matter of costs related to expanding existing services. A separate group was charged with exploring a variety of implementations, each of which would take into account differing degrees of compliance requirements and reporting, as well as the costs of those implementations. There are both one-time and recurring costs to support additional compliance and reporting. Estimated implementation costs university-

wide would minimally be several hundred thousand dollars per year in addition to substantial one-time costs for infrastructure. Reports from OARAA Implementation Scenarios Task Forces are included in Appendix 4.

15.b.iii.5. the potential for collaboration between public universities regarding the use and maintenance of repositories;

1. That the University of Illinois librarians should work with colleagues in the public academic institutions in Illinois to explore the opportunities, challenges, costs and consequences of a single shared institutional repository.
2. That if a collaborative repository effort is found to be more desirable than each institution implementing and maintaining its own system, an appeal be made to the IBHE and the state to fund this effort.
3. That if there is a statewide effort to implement a single shared repository, digital preservation services be included as part of the repository.

15.b.iii.6. the potential use of existing scholarly repositories;

1. That a University of Illinois open access policy should permit faculty to comply with an open access policy by depositing works in an existing scholarly repository, including disciplinary or federal repositories.
2. That when University of Illinois faculty deposit in a disciplinary or federal open access repository, the publication should be harvested for the local institutional repository where access rights permit.
3. That the University of Illinois should permit faculty members to deposit articles in the local institutional repository and have these articles uploaded to other required funder sites (e.g., PMC) on behalf of the faculty member if the publisher has not already made that deposit.

15.b.iii.7. the fiscal feasibility and benefits and drawbacks to researchers of institutional support for Gold open access fees;

1. That the University of Illinois not adopt a university-wide policy on institutional support for APCs.
2. That the University monitor the adoption of APCs by Gold open access journals, as widespread adoption of this model will result in institutional support for APCs becoming an important component of competing with our peers.

15.b.iii.8. the differences between academic and publishing practices in different fields and the manner in which these differences should be reflected in an open access policy;

1. That in recognition of disciplinary variation in the adoption and type (e.g., Gold or Green) of open access, there should be flexibility in allowing researchers to select not only their publication venue, but also their preferred method of open access.
2. That in recognition of the variability for the need for and length of open access embargo periods across academic disciplines, stipulations regarding embargo periods should remain under the control of the faculty member.
3. That faculty members be permitted to voluntarily submit primary scholarship

other than scholarly articles to the university's open access repository (when feasible, as determined by the administrator of the repository) so that the University of Illinois demonstrates a recognition of the value of other forms of primary scholarship and increases its understanding of the publishing cultures and practices represented by the full breadth of our academic disciplines.

4. That the University of Illinois implement procedures that include gathering data regarding any problems or issues emerging from an open access policy adopted by the University of Illinois so that the policy can be improved.

15.b.iii.9. the determination of which version of a research article should be made publicly accessible;

1. That, when made openly accessible, University of Illinois research should be made available in the published version of record when possible.
2. That when it is not possible to provide open access to the published version of record, University of Illinois research available in an open access repository should be as close as possible to the published version of record.
3. That embargo periods for University of Illinois research should be as short as possible. (see also Recommendation 2 in 15.b.iii.8)
4. That when the institutional repository contains a version other than the published version, the repository version should include information connecting it and the published version and, if possible, explain the relationship between the two.

15.b.iii.10. the determination of which researchers and which research ought to be covered by an open access policy;

a. theses and dissertations written by students at public institutions;

That theses and dissertations should not be included in the University of Illinois open access policy.

b. research conducted by employees of State agencies;

The OARAA Task Force believes this question is outside of the jurisdiction of the University of Illinois because these individuals are not University of Illinois employees. Policy regarding works jointly authored by these individuals and University of Illinois faculty is addressed in section 15.b.iii.10.h.

c. research supported by State grants, but not conducted by employees of public institutions or State agencies;

The OARAA Task Force believes this question is outside of the jurisdiction of the University of Illinois because these individuals are not University of Illinois employees. Policy regarding works jointly authored by these individuals and University of Illinois faculty is addressed in section 15.b.iii.10.h.

d. research materials digitized using State funding;

1. That digitization of research materials with state funding must respect the copyright status of the works being digitized. If the works are in-copyright and rights to broader distribution cannot be secured, or lawful uses (e.g., fair uses as defined by Section 107 of U.S. copyright law) cannot be made, then the works

- must not be subject to an open access policy.
2. That when the rights holder for digitized research material is the University of Illinois, consideration should be given to making these works available openly.
 3. That when digitized research material is in the public domain, the University of Illinois should make those works publicly available without restrictions.
- e. data collected by covered researchers;
1. That a University of Illinois open access policy should exclude requirements for data sharing at this time.
 2. That University of Illinois faculty should consider sharing data and should engage with the federal government, disciplinary and professional communities to help shape data sharing efforts.
 3. That when faculty members do engage in open data sharing, they give attention to privacy and intellectual property issues, including but not limited to embedded copyright or issues regarding the disclosure of an invention and the impact of that disclosure on the potential validity of any patent application.
 4. That, because of their incomplete and preliminary status, laboratory notes, preliminary data analyses, notes of the author, phone logs, and other forms of raw data should be excluded from a University of Illinois open access policy.
- f. research conducted by faculty at institutions that receive MAP grants;
That the OARAA Task Force recommendations throughout this report be considered in light of Public Act 098-0295 to pertain to the faculty of the University of Illinois, which benefits from MAP grants to many of its students. The OARAA Task Force believes the matter of MAP awards to institutions other than the University of Illinois is outside of the jurisdiction of the University of Illinois.
- g. research conducted by part-time, adjunct, or other non-permanent faculty;
1. That a University of Illinois open access policy apply to the research articles of University of Illinois tenured and tenure-track faculty, whether full-time or part-time, and without regard to the source or permanence of funding for the appointment of these faculty members.
 2. That other employees engaged in research that leads to the publication of scholarly articles be encouraged to follow the University of Illinois open access policy as it applies to faculty.
- h. research at least one of whose co-authors is covered by the policy;
That a University of Illinois open access policy should apply to University of Illinois faculty, whether those individuals publish as the sole author or as a co-author with an individual from another organization.
- i. research progress reports presented at professional meetings or conferences;
1. That research progress reports presented at professional meetings and conferences should be excluded from the scope of an open access policy.
 2. That peer-reviewed and edited submissions to conference proceedings should fall

within the scope of an open access policy.

3. That individual authors of research progress reports be responsible for determining the relevance of an open access policy to their reports and for determining whether their reports should be made available through a University of Illinois repository.

j. laboratory notes, preliminary data analyses, notes of the author, phone logs, or other information used to produce final manuscripts;

Issues related to information used to produce final manuscripts are addressed as part of the OARAA Task Force report discussion on data sharing. Please see 15.b.iii.10.e for recommendations.

k. classified research, research resulting in works that generate revenue or royalties for authors (such as books), or patentable discoveries;

1. The University of Illinois open access policy must not apply to classified research.
2. The University of Illinois open access policy should permit faculty to choose to publish in venues where they receive compensation for scholarly works.
3. The University of Illinois open access policy should not apply to patentable discoveries.

Item Discussion by Section

15.b.iii.1. the question of how to preserve the academic freedom of scholars to publish as they wish while still providing public access to research;

In considering open access with regard to faculty publishing, two principles come into play: academic freedom and intellectual property rights. Academic freedom for scholars is a pivotal issue in considering the matter of open access publishing. Whether and how to provide open access to scholarship is a question that must be determined by faculty because faculty members are uniquely qualified to determine how the choice of publication mode and venue will affect the quality and value of their research. With regard to the goals of Public Act 098-0295, both academic freedom and intellectual property rights are important inasmuch as they relate to the *quality* of the scholarship that faculty produce and publish.

The University of Illinois *Statutes* express an institutional commitment to academic freedom:

It is the policy of the University to maintain and encourage full freedom within the law of inquiry, discourse, teaching, research, and publication and to protect any member of the academic staff against influences, from within or without the University, which would restrict the member's exercise of these freedoms in the member's area of scholarly interest. (*University of Illinois Statutes*, Article X, Section 2a).

As the inclusion of this section in the *Statutes* reflects, the entire University has a responsibility to protect academic freedom. The implications of Public Act 098-0295 for academic freedom are of vital concern not only to faculty members, but to the entire University, and, by extension, to the state of Illinois.

Academic freedom is a basic structuring principle of U.S. research universities and the work of faculty. The AAUP 1940 Statement on Principles of Academic Freedom and Tenure specifies "teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties...." This freedom means that a faculty member has the right to determine the place or vehicle of publication most appropriate to the work.

In the context of Public Act 098-0295, the most important reason why individual faculty members must retain the right to decide the venues for their scholarship is that this is a key way that we protect the quality of the research carried out in our universities. The determination of which journal is likely to provide the most appropriate venue for a given scholarly article is a matter of professional or technical expertise. If faculty members were not granted the freedom to make this determination, but were rather required to publish *only* in venues that agreed to an open access arrangement, they might be obligated to pass up more appropriate or prestigious publication venues that did not agree to the terms of the University's open access policy. The result, in the short term, would be that the overall prestige of research published at the University of Illinois would suffer, and, in the long term, that the quality of the research itself might decline. This decline would make the University itself less competitive and so less valuable to the state of

Illinois. On a larger scale, institutions that tightly restrict publication venues in ways that threaten academic freedom make themselves less attractive to top scholars.

The University of Illinois *General Rules* codify a robust protection of the faculty's intellectual property rights over copyrightable works (Article III, Section IV (b)):

(b) University Rights in Creator-Owned Works

1. Traditional academic copyrightable works created using University resources usually and customarily provided are owned by the creators. Such works need not be licensed to the University.
2. Traditional academic copyrightable works created with use of University resources over and above those usually and customarily provided shall be owned by the creators but licensed to the University. The minimum terms of such license shall grant the University the right to use the original work in its internally administered programs of teaching, research, and public service on a perpetual, royalty-free, non-exclusive basis. The University may retain more than the minimum license rights when justified by the circumstances of development.

The default assumption is that copyrightable works that the faculty member produces belong to the faculty member and that the University makes no claim to rights over those works. It is only when these works are produced with resources “over and above those usually and customarily provided” that the University invokes a right to *use* the materials. Even then, the work remains the intellectual property of the faculty member.

Recommendations:

1. That University of Illinois faculty continue to own copyright to their work and are permitted to license those works in ways they deem appropriate, including for example through the use of Creative Commons licenses.
2. That a University of Illinois open access policy must not impair the right of the faculty to choose the most appropriate publication venue.
3. That, when possible, University of Illinois faculty grant to the University of Illinois a nonexclusive license to make their articles available in the institutional repository.
4. That where copyright is owned by the University of Illinois (e.g., in works commissioned by the University), open access be provided.

15.b.iii.2. the design of a copyright policy that meets the needs of the public as well as of authors and publishers;

Copyright law was established “To promote the Progress of Science and useful Arts, by securing for limited Times to Authors and Inventors the exclusive Right to their respective Writings and Discoveries” (U.S. Constitution, Article I, Section 8). The balance established in the U.S. Constitution was intended to acknowledge both the interests of rights holders and the interests of the public, with the law providing both protections for and limits to the rights of both.

This same balance is reflected in the University of Illinois *General Rules Concerning Organization and Procedure*, Article III (“Intellectual Property”).¹ Those rules lay out four primary objectives for management of copyright policy, objectives that are consistent with the needs of the public, as well as those of authors and publishers:

- (i) To optimize the environment and incentives for research and for the creation of new knowledge at the University;
- (ii) To ensure that the educational mission of the University is not compromised;
- (iii) To bring technology into practical use for the public benefit as quickly and effectively as possible;
- (iv) To protect the interest of the people of Illinois through a reasonable consideration for the University’s investment in its intellectual property.²

There are costs associated with the production and distribution of scholarly work. Even when subsidized, the publication of scholarly works may depend on costly infrastructure from creation to delivery, and publishers of all sorts—scholarly presses, scholarly societies, commercial publishers, universities and their libraries—must provide the infrastructure to make publishing possible. An open access policy must acknowledge these costs and thus should support a range of different publishing venues and author choices. Again, the University of Illinois *General Rules Concerning Organization and Procedure* currently support this flexibility: for faculty publications, rights are granted to creators so that they can act independently (III.4.b), and for University-owned works, a range of options (including possibly dedicating the work to the public domain) is permissible (III.4.d). An open access policy must be flexible enough to accommodate the choices of authors and should take into account the role of publishers.

Recommendations:

1. That an open access policy must be consistent with University of Illinois policies on copyright management, as represented in the *General Rules Concerning Organization and Procedure*.
2. That an open access policy should ensure that compliance by University of Illinois faculty does not cause faculty to violate copyright law, for example by providing open access to intellectual property owned by third parties (e.g., journal articles, photographs, maps, figures, charts, music, poetry, and long extracts included in the works of our faculty).

15.b.iii.3. the design of reporting, oversight, and enforcement mechanisms;

Reporting

In order to monitor and report on the effectiveness of an open access policy, an institution must be able to determine not only the number of open access works published or publications deposited in an open access repository, but also the universe of works published by faculty members. Tools exist to help automate this process and generate reports for follow-up by the responsible office. Such data could be supplemented by self-

¹ <http://www.bot.uillinois.edu/general-rules>. (As amended, January 24, 2013).

² University of Illinois *General Rules Concerning Organization and Procedure*, III.1.

reporting through faculty profile tools or other processes that may already be a part of a faculty member's annual review.

Enforcement

Most universities have found that attempting to compel compliance with university open access policies is counterproductive and that, instead, “effective policies are implemented through expectations, education, incentives, and assistance, not coercion.”³ A number of strategies to encourage open access reporting and deposit are being implemented by institutions with open access policies.

Oversight

Oversight is being handled variously by institutions with open access policies. At Harvard, the Harvard Office for Scholarly Communication, a unit of the Harvard University Library, manages open access policies with oversight by a Faculty Advisory Committee. At the Massachusetts Institute of Technology (MIT), the Office of the Provost, in consultation with the Faculty Committee on the Library System, is responsible for interpreting the MIT open access policy, issuing waivers, resolving disputes, and recommending changes to the faculty. The University of California policy states that the Academic Senate and the University of California will be jointly responsible for implementing the California policy, issuing waivers, resolving disputes concerning its interpretation and application, and recommending any changes to the faculty.

It will be essential to involve existing or newly created faculty bodies to oversee the policies. An existing body, such as the Senate Library Committee (Urbana and UIS) or the Academic Services Committee (UIC) may be most appropriate. University of Illinois campuses may differ on what administrative office (e.g., Provost, Vice Chancellor for Research or Library Dean) will share in the responsibility for oversight. There will be a need to ensure reporting and coordination through the USC and the Vice President for Academic Affairs' office.

Recommendations:

1. That if reporting on compliance to an open access policy is required, the reporting burden to faculty should be minimized.
2. That the University Administration coordinate with the campus faculty and administrative bodies in determining oversight of a University of Illinois open access policy.
3. That each campus Faculty Senate determine the appropriate faculty body for participation in oversight of a University of Illinois open access policy.
4. That the Provost from each campus designate the office or unit that would oversee a University of Illinois open access policy on behalf of the administration.

³ Peter Suber, Harvard Office for Scholarly Communication, in an e-mail to OARAA TF member Mary Case, dated 2/14/14

15.b.iii.4. the cost of maintaining and, where applicable, creating institutional repositories;

As all three University of Illinois campuses offer and maintain institutional repositories, the Task Force explored the matter of costs related to expanding existing services. A separate group was charged with exploring a variety of implementations, each of which would take into account differing degrees of compliance requirements and reporting, as well as the costs of those implementations. There are both one-time and recurring costs to support additional compliance and reporting. Estimated implementation costs university-wide would minimally be several hundred thousand dollars per year in addition to substantial one-time costs for infrastructure. Reports from OARAA Implementation Scenarios Task Forces are included in Appendix 4.

15.b.iii.5. the potential for collaboration between public universities regarding the use and maintenance of repositories;

The potential for shared repository infrastructure within the state is significant and partly realized. There are already examples of institutions sharing repository infrastructure. Within the University of Illinois, UIS offers repository services through Urbana's IDEALS system. UIC hosts its own repository, INDIGO. These repositories are among the more substantial institutional repositories found in research libraries, and they collectively include nearly 70,000 articles, preprints, technical reports, theses and dissertations, and datasets, as well as digitized material from University of Illinois scholars. Outside of Illinois, perhaps the greatest example of collaboration among institutions is the eScholarship repository for the University of California system. First developed in 2002, the eScholarship repository now holds over 67,000 items from all ten UC campuses.

One indication of the opportunity for collaboration is the strong convergence around repository platforms. Many in the state use DSpace, a widely used open source repository platform developed by MIT. Both IDEALS and INDIGO use DSpace, and the Urbana and UIC Libraries have collaborated on working with consultants to upgrade the software and have shared expertise in developing support for electronic theses and dissertations applications that connect to the repository. Governors State University and Northern Illinois University also host local instances of DSpace for their repositories. Digital Commons (bepress), a hosted platform that allows customized, branded instances, is used by several Illinois public universities, including Southern Illinois University, Eastern Illinois University, and Illinois State University.

Several Illinois public institutions do not currently have institutional repositories. In a discussion with university library directors in the state, many expressed interest in collaborating to provide institutional repository support, especially to reduce costs. Shared systems exist that can create local customizations and branding. Centralized infrastructure and technical support might be able to reduce costs and allow local librarians to work more intensively with faculty on policy, process, and compliance.

With regard to the potential for collaboration in maintaining repositories, two important caveats should be considered. First, a successful open access policy may dramatically increase the number of publications being deposited by each of our institutions. Based on current rates of publication and deposit, UIC's deposit volume may quadruple and Urbana's may increase by as many as 100 times. To absorb this increase in the number of publications being deposited, we will need to invest in enhancing systems and in additional staffing (see Appendix 4). Second, repositories alone are no guarantee of long-term preservation of the materials deposited in the repositories, another key goal of Public Act 098-0295. The cost of adding digital preservation services, either directly in the repository or through external services such as the emergent community-based federated effort, the Digital Preservation Network (DPN), increases costs substantially.

Recommendations:

1. That the University of Illinois librarians should work with colleagues in the public academic institutions in Illinois to explore the opportunities, challenges, costs and consequences of a single shared institutional repository.
2. That if a collaborative repository effort is found to be more desirable than each institution implementing and maintaining its own system, an appeal be made to the IBHE and the state to fund this effort.
3. That if there is a statewide effort to implement a single shared repository, digital preservation services be included as part of the repository.

15.b.iii.6. the potential use of existing scholarly repositories;

Open access repositories play an important role in the culture of many disciplines. The most well known of these include:

- PubMedCentral (PMC) – the National Institutes of Health's digital repository that provides free access to several million articles in the biomedical and life sciences. Articles are submitted by participating journals that meet standards for quality of content and digital files. In the case of authors required to submit to PMC as a result of funding requirements by federal agencies or others, submissions may be made by the journal publisher or by the individual author. <<http://www.ncbi.nlm.nih.gov/pmc/>>
- arXiv - a repository that provides open access to over 900,000 e-prints in Physics, Mathematics, Computer Science, Quantitative Biology, Quantitative Finance and Statistics; arXiv is operated by Cornell University. <<http://arxiv.org/>>
- Social Science Research Network (SSRN) – an open access repository of working papers in the social sciences and humanities, with strengths particularly in economics and law. Over 430,000 papers are available for free downloading on the site. <<http://www.ssrn.com/en/>>.
- Additionally, directories of open access repositories can be found at <http://www.andoar.org/> and http://oad.simmons.edu/oadwiki/Disciplinary_repositories.

It is important for institutions to make compliance with open access policies as easy for faculty as possible and not require duplicate effort. The institution can assist by

harvesting publications from external open access sources and by depositing the publication in a repository like PMC for the faculty member when required by the funder, thus reducing the researcher's burden.⁴

Recommendations:

1. That a University of Illinois open access policy should permit faculty to comply with an open access policy by depositing works in an existing scholarly repository, including disciplinary or federal repositories.
2. That when University of Illinois faculty deposit in a disciplinary or federal open access repository, the publication should be harvested for the local institutional repository where access rights permit.
3. That the University of Illinois should permit faculty members to deposit articles in the local institutional repository and have these articles uploaded to other required funder sites (e.g., PMC) on behalf of the faculty member if the publisher has not already made that deposit.

15.b.iii.7. the fiscal feasibility and benefits and drawbacks to researchers of institutional support for Gold open access fees;

Gold open access refers to publication through journals that provide open access to the published version of an article; Gold open access stands in contrast to Green open access, where the author self-archives work in an institutional repository or other open access repository.⁵ An Article Processing Charge (APC) is a fee sometimes associated with Gold open access, paid by the author to the publisher, in order to cover the publisher's costs and profit.

The publication of scholarly articles involves a number of costs, including but not limited to refereeing and management of the refereeing process, copyediting and typesetting, hosting online versions of articles, and printing and mailing. While the academic community has traditionally handled some parts of this process (e.g., refereeing) *gratis*, publishers have covered the costs of other components in other ways, including through subscriptions and/or APCs.

There are well known advantages for fee-based Gold open access. The APC is frequently paid by either the author's research grant or by the home institution. In the case of payment from a research grant, the granting agency pays the APC in the interest of having the research available to the public immediately and in its final published version. Similarly, an institution's incentive to pay an APC would be to advance institutional research (e.g., by increasing its availability immediately and in the published version of record). Some have suggested that universities can shift their library expenses away from

⁴ It should be noted that some publishers are concerned about the existence of multiple copies of the same version of the article because downloads of copies outside of the publisher's system may undermine collection of statistics and lead to the cancellation of subscriptions. Others argue that there are emerging standards to share download statistics and the value of archiving institutional copies is greater than the complications multiple copies cause.

⁵ http://en.wikipedia.org/wiki/Open_access

journal subscriptions through increased funding of APCs, as the model for funding academic publishing shifts from the subscription model to the APC-supported Gold open access model. No data supports this suggestion.

There are many concerns about APC-funded Gold open access. For example,

1. The cost structure of APCs continues to be highly volatile, and varies widely in a manner not directly related to the quality of the journal. For example, in mathematics, APCs vary from \$750 to \$3000 for reputable journals.
2. Subscription journals remain very important and active venues for publication of academic research, resulting in a situation where libraries cannot reduce subscription costs to cover faculty APCs without also reducing the number of subscriptions. Thus, APCs are a new and additional cost in the system.
3. Payment of APCs from authors to journals may create an incentive for a publisher to publish the work of those who can pay rather than publishing the highest quality research, thus lowering standards of publication. Indeed, we have seen the emergence of “predatory” or fraudulent open access journals that have no reputational value and capitalize on revenue from APCs.
4. Because of this extraordinary variability in quality of journals that receive APCs, an institutional commitment to APCs will also require institutions to review journals for quality, a practice that will be problematic and expensive.

Recommendations:

1. That the University of Illinois not adopt a university-wide policy on institutional support for APCs.
2. That the University monitor the adoption of APCs by Gold open access journals, as widespread adoption of this model will result in institutional support for APCs becoming an important component of competing with our peers.

15.b.iii.8. the differences between academic and publishing practices in different fields and the manner in which these differences should be reflected in an open access policy;

Academic disciplines differ in many regards: the pace of advances in spheres of knowledge, the nature of the primary content generated as scholarly output, the methods of research, the preferred form or forms of publication for dissemination of scholarly work, the costs of generating scholarship, the nature and prevalence of external funding for scholarly work, and peak periods of academic interest in the scholarly content.⁶ Differences in these aspects are necessarily a focus in discussions regarding the impact of open access publishing and repositories. Each must be considered carefully in the context of open access policy development.

Publishing practices differ across disciplines as a function, in part, of the nature of the scholarly work and the preferred modes of dissemination. Academic and professional

⁶ See Appendix 5 for bibliography.

journals and conference proceedings are considered the primary venue in some but not all disciplines. Research in the physical and computational sciences and the field of medicine tends to involve more team-based work than in the humanities, and it also generally proceeds at a much faster pace than research in the humanities and social sciences. Concomitantly, the primary venue for published scholarship in these disciplines, with the exception of computer science, tends to be academic journals. Some have suggested that journal articles in these fields have a shorter peak period of use or “half-life” when compared to the humanities and social sciences; this assertion was generally supported in a recent usage study (Davis, 2013). For computer science, academic conferences and conference proceedings are considered the primary research products. Although publishing in the humanities and in the social sciences includes publishing in scholarly journals, single-author monographs are more frequently found in the humanities and tend to carry a longer period of disciplinary interest or use when compared to journals in the sciences. A mixture of journal articles, edited books, and monographs is found in the social sciences.

The costs of scholarship, as well as the availability and nature of funding to support scholarship, also differ significantly across academic categories. Research in science, technology, engineering, and medicine (STEM) is typically of greater cost and garners more external funding than scholarly work in the humanities and social sciences. The nature of funding also differs significantly, with greater governmental funding available for STEM fields. At the same time, the National Institutes of Health has implemented a public access policy requiring grantees to deposit data sets and final-form articles resulting from funded research in an open access repository, and the White House Office of Science and Technology Policy is working with other agencies to develop similar policies. Fast-paced advances in discovery and applications and funder mandates have contributed to the fact that open access initiatives are more prevalent in STEM fields at the present time.

Financial models to support publishing also differ across disciplinary fields. In some cases, highly regarded academic journals and conference proceedings are published by large and small surplus-making scholarly societies, while others are generated by large and small for-profit publishing firms and university presses. Complex interactions among discipline-specific factors like primary type of work, pace of advances, and journal costs can differentially affect the availability of knowledge in some fields. For example, escalating costs of journal subscriptions in high-demand areas of the sciences may, in the absence of commensurate library budget increases, inadvertently reduce access to published work in other disciplines if university libraries are forced to reallocate resources away from the purchase of subscriptions or books in non-science fields.

Other factors that may differentially affect some disciplines include: (a) the nature of the economic model underlying the subscription approach and fear that open access may threaten the self-financing approach of scholarly societies; (b) concern that open access may impact the type of peer review conducted; (c) challenges associated with making publicly available data sets that contain sensitive information or research findings that have patent or technology transfer implications; and (d) the potential impact that open

access may have on future opportunities to publish preprints.

Implications

- Publishing cultures and practices across academic disciplines are necessarily influenced by differing rates of advances in the respective fields, the types of advances, peak use periods for scholarly outputs, primary and secondary formats for dissemination of outputs, and economic models for publisher sustainability or profit. Such factors will differentially influence the desirability of open access for scholars in various academic disciplines.
- Different disciplines will view Gold open access (publishing in an open access journal) and Green open access (self-archiving in an open access repository) options differently. To a large extent, disciplines supported by funders that support Article Publishing Charges (APCs) and researchers that have access to institutional resources that support APCs (e.g., life and biomedical sciences) may select Gold open access as the most desirable option for making their work freely available. Disciplines without resources to cover APCs from research or institutional funds may find Green open access options more desirable.
- Some STEM fields have initiated discipline-specific platforms for disseminating pre-publication findings and may be more likely to participate in Green open access for scholarly articles if encouraged and supported.
- We are operating in an evolving context. The number of funding agencies requiring some form of public access to research data and reports is increasing as is legislative interest in public access to scholarly work at universities. To date, model university policies have accommodated the variations in differing scholarly cultures and publishing practices across academic disciplines by limiting the scope of work covered to journals, providing funding for Gold open access publishing, allowing for embargo periods of typically 12-24 months, and incorporating a waiver or opt-out provision.

Because of these differences in publishing practices in different fields, journal articles have emerged as the scholarly output of focus in university-based open access policies. Model open access policies developed at Harvard University, the Massachusetts Institute of Technology, and the University of California purposefully use the general term *scholarly articles* but add clarifying notes indicating that the focus is on scholarly work prepared for dissemination in peer-reviewed scholarly journals and conferences. Artistic works, teaching materials, creative literature, monographs, edited books, and contracted or commissioned work are expressly excluded from the policy focus, even as those policies inform faculty members of their right to voluntarily include work of this nature by granting the university the same license. The rationale for focusing policies on scholarly articles involves a combination of factors, including the fact that authors typically earn royalty payments for contributions to books, and open access might well reduce the potential for publication. Limiting the scope of open access to scholarly articles will differentially translate to greater access to advances in those fields for which peer-reviewed articles and conference papers are the most important forms of dissemination.

Recommendations:

1. That in recognition of disciplinary variation in the adoption and type (e.g., Gold or Green) of open access, there should be flexibility in allowing researchers to select not only their publication venue, but also their preferred method of open access.
2. That in recognition of the variability for the need for and length of open access embargo periods across academic disciplines, stipulations regarding embargo periods should remain under the control of the faculty member.
3. That faculty members be permitted to voluntarily submit primary scholarship other than scholarly articles to the university's open access repository (when feasible, as determined by the administrator of the repository) so that the University of Illinois demonstrates a recognition of the value of other forms of primary scholarship and increases its understanding of the publishing cultures and practices represented by the full breadth of our academic disciplines.
4. That the University of Illinois implement procedures that include gathering data regarding any problems or issues emerging from an open access policy adopted by the University of Illinois so that the policy can be improved.

15.b.iii.9. the determination of which version of a research article should be made publicly accessible;

The question of which version of an open access article should be made publicly accessible depends in part on the model of open access employed. For those research articles published in open access journals, the final published version will be openly available. However, when authors deposit a research article in either a disciplinary or institutional open access repository, decisions must be made regarding the version of the article and the length of embargo to open access.

In general, it seems desirable for the repository version of an article to be as close as possible to the published version and to limit the embargo period to as small a period of time as possible. For a variety of reasons, publisher policies vary on both of these matters. Some publishers will prohibit deposit of the published article, permitting only deposit of a version referred to as the accepted author manuscript (AAM). One publisher defines the AAM as "author's version of the manuscript of an article that has been accepted for publication and which may include any author-incorporated changes suggested through the processes of submission processing, peer review, and editor-author communications..., excluding publisher value-added contributions such as copy-editing, formatting, technical enhancements and (if relevant) pagination." Some publishers will prohibit deposit of *any* version of the published article, including preprints. Similarly, some publishers will not insist on an embargo, while others may insist on an embargo period for as long as 24 months.

Recommendations:

1. That, when made openly accessible, University of Illinois research should be made available in the published version of record when possible.

2. That when it is not possible to provide open access to the published version of record, University of Illinois research available in an open access repository should be as close as possible to the published version of record.
3. That embargo periods for University of Illinois research should be as short as possible. (see also Recommendation 2 in 15.b.iii.8)
4. That when the institutional repository contains a version other than the published version, the repository version should include information connecting it and the published version and, if possible, explain the relationship between the two.

15.b.iii.10. the determination of which researchers and which research ought to be covered by an open access policy;

Section b.iii.10 of Public Act 98-0295, the determination of which researchers and which research ought to be covered by an open access policy, includes a number of discrete questions. Each of these is addressed in the following sections, lettered a-k.

a. theses and dissertations written by students at public institutions

There is currently considerable debate regarding the implications of providing open access to theses and dissertations, and key professional organizations such as the American Historical Association have provided recommendations that would restrict access.

The policies for dissemination of theses and dissertations at the three campuses of the University of Illinois are written with varying degrees of detail. Dissertations at the three campuses are routinely published by ProQuest. There are provisions for withholding of theses and dissertations for varying lengths of time associated with benefits that might accrue to the author, and possibly the research group and the university, connected with possible patents or (book) publication opportunities. These policies have evolved separately from the present discussion of open access issues.

The issue of theses and dissertations has not yet been specifically addressed directly in federal policies. It is our belief that support for a thesis or dissertation from a federal source will result in open access requirements associated with this source of funding and that these requirements would supersede other local requirements.

Recommendations:

That theses and dissertations should not be included in the University of Illinois open access policy.

b. research conducted by employees of State agencies

It is our understanding that “employees of State agencies” in Public Act 098-0295 is intended to refer to employees of other Illinois state agencies, and not faculty at the University of Illinois. Public Act 098-0295 defines “public universities,” and the “purpose” section of the act refers to public university faculty as “these State employees.” However, because “State agency” is not defined in this Act, and “public universities” is

defined, it appears that the legislature intends to distinguish between these two types of entities and their employees. That is, we understand “employees of State agencies” to be persons who are not employees of the University of Illinois.

Recommendation:

The OARAA Task Force believes this question is outside of the jurisdiction of the University of Illinois because these individuals are not University of Illinois employees. Policy regarding works jointly authored by these individuals and University of Illinois faculty is addressed in section 15.b.iii.10.h.

c. research supported by State grants, but not conducted by employees of public institutions or State agencies

The requirements the state of Illinois places on grant recipients is a critical matter. In this case, the question relates to works by individuals outside of the University of Illinois. These individuals are not covered by University of Illinois policies.

Recommendation:

The OARAA Task Force believes this question is outside of the jurisdiction of the University of Illinois because these individuals are not University of Illinois employees. Policy regarding works jointly authored by these individuals and University of Illinois faculty is addressed in section 15.b.iii.10.h.

d. research materials digitized using State funding

Universities have engaged vigorously in digitization from their library collections. For example, a large group of research libraries partnered with Google to digitize books and journals and digitized more than 20 million volumes in that effort. For nearly two decades libraries have routinely digitized materials in their collections, improving access, research and preservation. Often, these digitized books and journals are “research materials.” In many cases these research materials were originally published in print by units at the library’s home institution. Occasionally, state funding supports digitization; often that digitization is funded by grants (including grants from private foundations) or by public-private partnerships such as the University of Illinois’ partnerships with Google and with several publishers.

Digitization of these research materials does not change their copyright status. The original rights holder’s copyright remains intact in spite of format changes. In other words, digitization does not confer special intellectual property rights on the party that digitizes the materials. The fact that digitization does not change the copyright status of a work is a fundamental piece of copyright law and is rarely tested. Nevertheless, a related issue was tested in a case filed by a group of writers against the *New York Times*, *Newsday* and *Time* (“*New York Times et al.*”), decided by the U.S. Supreme Court in 2001. The writers charged copyright infringement when the *New York Times et al.* used digitized versions of publications initially licensed to the *New York Times et al.* for print

publication. The Court found for the writers⁷ and in so doing declared that:

Invoking the concept of “media neutrality,” the Publishers urge that the “transfer of a work between media” does not “alter the character of” that work for copyright purposes. Brief for Petitioners 23. That is indeed true. See 17 U.S.C. § 102(a) (copyright protection subsists in original works “fixed in any tangible medium of expression”). (533 U.S. 502.)

That is, a change in formats (e.g., from print to digital) does not alter the copyright inherent in the original works.

We understand that we may not take an open access approach where the university does not own the original copyright. Instead we must look to the nature and extent of any permission received and whether there is a copyright exemption present that would permit open access, regardless of whether or not state funding was involved.

Recommendations:

1. That digitization of research materials with state funding must respect the copyright status of the works being digitized. If the works are in-copyright and rights to broader distribution cannot be secured, or lawful uses (e.g., fair uses as defined by Section 107 of U.S. copyright law) cannot be made, then the works must not be subject to an open access policy.
2. That when the rights holder for digitized research material is the University of Illinois, consideration should be given to making these works available openly.
3. That when digitized research material is in the public domain, the University of Illinois should make those works publicly available without restrictions.

e. data collected by covered researchers

Data sharing is increasing and we see growing policy support for this activity, for example as seen in the February 2013 White House Office of Science and Technology Policy memorandum regarding providing public access to unclassified research data.⁸ The value of data sharing has advantages such as reproducibility of research and cost avoidance (e.g., avoiding the need to re-collect data).⁹ Research literature also documents preferences for data sharing among some disciplines, and an implicit or explicit recognition of the value of data sharing.¹⁰

⁷ The Supreme Court found in this case that the freelance writers had only given permission for their articles to be used in the newspaper as a collective work. The *New York Times et al.* argued that their republication of the articles in a database was permissible as part of a revision of the collective work per 17 U.S.C. 201(c). The Supreme Court held that offering users individual articles did not constitute a revision of a collective work under 201(c) and so was infringing. The *New York Times et al.* did not argue that their actions were within their original permissions from the authors nor did they argue fair use under 17 U.S.C. 107.

⁸ http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf

⁹ Tenopir, C., Allard, S., Douglass, K., Aydinoglu, A. U., Wu, L., Read, E., Manoff, M., et al. (2011). Data Sharing by Scientists: Practices and Perceptions. *PloS ONE*, 6(6), e21101. doi:10.1371/journal.pone.0021101.

¹⁰ See, for example, Faniel, I. M., & Jacobsen, T. E. (2010). Reusing Scientific Data: How Earthquake Engineering Researchers Assess the Reusability of Colleagues Data. *Computer Supported Cooperative*

Although there is a growing body of research related to data sharing and openness, less is understood about data sharing than is understood about sharing research articles. A study of researchers and their data sharing practices finds variability in practice, including:¹¹

- the form in which data are shared and usable formats;
- when to share data (though there is generally agreement that data should not be shared until after publication of the associated literature);
- the extent to which anonymization is needed, and how that can be accomplished effectively;
- citation to, metadata for, and documentation of data;
- that data tend to be less static or more subject to change than publications.

The degree to which these issues are addressed differs by discipline and is changing as our understanding of data sharing matures. Policies regarding data sharing, where they exist, also vary, reflecting emergent practices in this area.¹² The OARAA Task Force recommends against including data in an open access policy because of the many questions associated with data sharing.

Recommendations:

1. That a University of Illinois open access policy should exclude requirements for data sharing at this time.
2. That University of Illinois faculty should consider sharing data and should engage with the federal government, disciplinary and professional communities to help shape data sharing efforts.
3. That when faculty members do engage in open data sharing, they give attention to privacy and intellectual property issues, including but not limited to embedded copyright or issues regarding the disclosure of an invention and the impact of that disclosure on the potential validity of any patent application.
4. That, because of their incomplete and preliminary status, laboratory notes, preliminary data analyses, notes of the author, phone logs, and other forms of raw data should be excluded from a University of Illinois open access policy.

f. research conducted by faculty at institutions that receive MAP grants

Section 35 (Monetary Award Program) of the Higher Education Students Assistance Act authorizes MAP grants to students with financial need who are Illinois residents and who attend “institutions of higher learning,” including public universities in Illinois, non-profit private universities in Illinois, and qualified for-profit institutions accredited by the North Central Association of Colleges and Universities. All those universities that fall within the reach of Public Act 098-0295 also receive MAP funding: the group of Illinois public universities receiving MAP funding through student enrollment is the entire group of

Work (CSCW), 19(3-4), 355-375. doi:10.1007/s10606-010-9117-8 and Parsons, M. A., & Fox, P. A. (2013). Is Data Publication the Right Metaphor? *Data Science Journal*, 12, WDS32–WDS46.

¹¹ Cragin, M. H., Palmer, C.L., Carlson, J.R., & Witt, M. (2010). Data Sharing, Small Science, and Institutional Repositories. *Philosophical Transactions of the Royal Society A*, 368(1926), 4023-4038: <http://rsta.royalsocietypublishing.org/content/368/1926/4023>

¹² Piwowar, H.A. & Chapman. W.W. (2008). A review of journal policies for sharing research data. from <http://precedings.nature.com/documents/1700/version/1>

Illinois public universities addressed by the Act.

Recommendation:

That the OARAA Task Force recommendations throughout this report be considered in light of Public Act 098-0295 to pertain to the faculty of the University of Illinois, which benefits from MAP grants to many of its students. The OARAA Task Force believes the matter of MAP awards to institutions other than the University of Illinois is outside of the jurisdiction of the University of Illinois.

g. research conducted by part-time, adjunct, or other non-permanent faculty

Public Act 098-0295 pertains to “the published research articles of faculty at public universities.” For the purposes of this report, the appropriate definition of “faculty” is the one provided in Section 3.a.(1) of the Statutes of the University of Illinois:

The faculty of the University and any of its units except for the Graduate College consists of those members of the academic staff with the rank or title in that unit of professor, associate professor, or assistant professor who are tenured or receiving probationary credit toward tenure, and those administrators in the direct line of responsibility for academic affairs (persons who hold the title director or dean in an academic unit, provost or equivalent officer, chancellor/vice president and president).

A number of other University employees are engaged in research that leads to the publication of scholarly articles, and they should be encouraged to follow the open access policy of the University of Illinois as it applies to faculty.

Recommendation:

1. That a University of Illinois open access policy apply to the research articles of University of Illinois tenured and tenure-track faculty, whether full-time or part-time, and without regard to the source or permanence of funding for the appointment of these faculty members.
2. That other employees engaged in research that leads to the publication of scholarly articles be encouraged to follow the University of Illinois open access policy as it applies to faculty.

h. research at least one of whose co-authors is covered by the policy

The policies of the University of Illinois apply to employees of the University of Illinois, even when collaborating with persons from other institutions.

Recommendation:

That a University of Illinois open access policy should apply to University of Illinois faculty, whether those individuals publish as the sole author or as a co-author with an individual from another organization.

i. research progress reports presented at professional meetings or conferences

Research progress reports presented at professional meetings or conferences vary considerably in their formality and completeness. This variation frequently differs by discipline and even by meeting or conference. The range of reports is broad, encompassing preliminary results presented informally and finished publications that function as research articles. The more preliminary and informal of these reports often serve as an early voice in an academic dialogue, sharing ideas and testing hypotheses. These preliminary progress reports will be easily misconstrued outside of the context of the meeting and are not intended for publication. By contrast, in some cases the research report is a final publication of the scholar's or team's work. As noted elsewhere in this report, academic conference reports and conference proceedings are considered the primary research products for computer science. This practice is not limited to computer science: for example, the *Proceedings of the Western Society for French History* has published edited, peer-reviewed papers from the Society's annual meeting for several decades. In many instances, the research report will unambiguously function as a publication indistinguishable from a research article; in many instances, the research report will not offer clear conclusions and will not serve as a publication. As noted in sections 15.b.iii.1 and 15.b.iii.8, disciplinary and other differences are important, and the author is in the best position to make a determination of whether the research report constitutes a publication and thus should be subject to an open access policy.

Recommendations:

1. That research progress reports presented at professional meetings and conferences should be excluded from the scope of an open access policy.
2. That peer-reviewed and edited submissions to conference proceedings should fall within the scope of an open access policy.
3. That individual authors of research progress reports be responsible for determining the relevance of an open access policy to their reports and for determining whether their reports should be made available through a University of Illinois repository.

j. laboratory notes, preliminary data analyses, notes of the author, phone logs, or other information used to produce final manuscripts

Issues related to information used to produce final manuscripts are addressed as part of the OARAA Task Force report discussion on data sharing. Please see 15.b.iii.10.e for recommendations.

k. classified research, research resulting in works that generate revenue or royalties for authors (such as books), or patentable discoveries

An institution would be in violation of federal law if it allowed open access to any classified research conducted by its employees. The outputs of classified research are not scholarly articles that would be available to any segment of the public, and surveying other open access policies, there is no suggestion in any of them that open access should be applied to classified research. Should we require our faculty to provide open access to classified research, our researchers would be excluded from participating in classified

research.

The University of Illinois retains competitive advantage by permitting faculty to publish in venues where they receive compensation for scholarly works. Some faculty authors depend on publication sales for supplemental income. Faculty sometimes publish with a major commercial publisher, and these publishers pay substantial advances and significant royalties.

When considering open access policies for “patentable discoveries,” an institution should distinguish between work that is leading to a scholarly publication and work that is being performed for potential commercialization as part of the economic development mission of the university. For work that is leading to a scholarly publication and is also potentially patentable, the same rules that apply to other scholarly publications should apply to that publication. For work that is not intended for scholarly publication, an open access requirement would damage the ability of our researchers to create commercializable intellectual property because competing interests could patent the work based on access to our information. A requirement for open access to such work would discourage our researchers from creating such intellectual property, and would prevent partnerships with corporations who support our research, create employment in the state, and offer opportunities to our students. Surveying other open access policies, there is no suggestion in any of them that open access should be applied to patentable research that is not intended for scholarly publication.

Recommendations:

1. The University of Illinois open access policy must not apply to classified research.
2. The University of Illinois open access policy should permit faculty to choose to publish in venues where they receive compensation for scholarly works.
3. The University of Illinois open access policy should not apply to patentable discoveries.

Appendix 1: Draft of Policy on Open Access to Research Articles

Whereas: The University of Illinois is a world-class engine of knowledge in diverse disciplines.

Whereas: The Faculty of the University of Illinois is committed to disseminating its research and scholarship as widely as possible.

Whereas: This research and scholarship benefits the region, Illinois, and the rest of the world.

Whereas: Open access allows for the greatest dissemination of research and scholarship.

Whereas: The Faculty recognizes the benefits that accrue to them as individual scholars and to the scholarly enterprise from such wide dissemination, including greater recognition, more thorough review, consideration and critique, and a general increase in scientific, scholarly and critical knowledge.

Whereas: The General Rules of the University of Illinois affirm that Faculty retain “copyright rights to academic copyrightable works” (Article III. Section 4(a)).

Whereas: The state of Illinois has expressed interest in the practices on Open Access in higher education institutions of the state through Public Act 098-0295.

Whereas: The University Senates Conference endorsed the University of California Open Access Policy as an acceptable basis for the University of Illinois own policy.

Be It Resolved that the Faculty at the University of Illinois adopts and implements the following policy on Open Access.

Grant of License and Limitations

Each Faculty member, for the purpose of making his or her scholarly articles widely and freely available in an open access repository, grants to the University of Illinois 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. Any other systematic uses of the licensed articles by the University of Illinois must be approved by the Campus Senate. This policy does not transfer copyright ownership, which generally remains with Faculty authors under existing University of Illinois General Rules (Article III. Section 4(a)).

Scope and Waiver

This Open Access policy covers all current Faculty members as defined by the Statutes: “members of the academic staff with the rank or title in that unit of “professor, associate professor, or assistant professor who are tenured or receiving probationary credit toward tenure, and those administrators in the direct line of

responsibility for academic affairs” (Article II: Section 3.(a).1).

The policy applies to all scholarly articles authored or co-authored while the creator is a member of the Faculty except for (1) scholarly articles that fall outside of the scope of copyrightable works described in General Rules Article III, Sections 4a and 4c; (2) any articles published before the adoption of this policy; and (3) any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy.

Upon express direction by a Faculty member, the University of Illinois will waive application of the license for a particular article or delay access for a specified period of time.

Deposit of Articles

To assist the University of Illinois in disseminating and archiving the articles, Faculty commit to helping the campus obtain copies of the articles. Specifically, each Faculty member who does not request a waiver of the licensing requirement as described above will provide an electronic copy of his or her final version of the article (i.e., the final author’s version post peer-review” or the “final published version” where possible) to the designated repository . If applicable, a Faculty member may instead notify the University of Illinois that the article will be made openly available in another repository or in an open-access publication, or made available via a link to public access versions of those articles on publisher websites. Faculty members who have requested a permanent waiver of the licensing requirement may nonetheless deposit a copy in the repository for archival purposes.

Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication. This policy neither requires nor prohibits the payment of fees or publication costs by authors.

Oversight of Policy

The Campus Senate, through an appropriate existing committee, and the Office of the Provost will be jointly responsible for implementing this policy, resolving disputes concerning its interpretation and application, and recommending any changes to the Faculty of the campus. All the responsible parties will review the policy within three years, and present a report to the Campus Senate. This report shall be transmitted to the Vice President of Academic Affairs. The VPAA is encouraged to gather the reports from the three campuses and present the results to the University Senates Conference and the Board of Trustees of the University of Illinois.

The Campus Senate urges the responsible units to develop and monitor mechanisms that would render implementation and compliance with the policy as convenient for the Faculty as possible.

Appendix 2: University of Illinois OARAA Task Force Members

JOHN WILKIN (Chair), Juanita J. and Robert E. Simpson Dean of Libraries and University Librarian (Urbana)

Dean Wilkin, an expert in the digital preservation of library collections, joined the University of Illinois in the fall of 2013 to lead the nation's largest public university library. Before coming to Illinois, he was Associate University Librarian for Publishing at the University of Michigan and Executive Director of the HathiTrust.

MARY CASE, University Librarian (Chicago)

Ms. Case has served as university librarian since 2004 and is a Fellow in the Council on Library Resources' Program for the Professional Education for Academic Research Librarians. At the Chicago campus she administers a research library that includes the Richard J. Daley Library and the Health Sciences Library with its three regional sites.

MATTHEW ANDO, Professor and Chair, Department of Mathematics, College of Liberal Arts and Sciences (Urbana)

Professor Ando specializes in algebraic topology, a branch of mathematics that uses abstract algebra to study topological spaces. He currently serves on the Committee on Publications for the American Mathematical Society.

DOUG BECK, Professor, Department of Physics, College of Engineering (Urbana)

Professor Beck's research interests focus on experimental nuclear physics. He is the creator and intellectual leader of the G0 Experiment at the Thomas Jefferson National Accelerator Facility, an experiment to elucidate a detailed spatial distribution of charge and current density for strange quarks.

DANILO ERRICOLO, Professor, Department of Electrical and Computer Engineering, College of Engineering (Chicago)

Professor Erricolo's research interests include electromagnetic scattering; propagation of electromagnetic radiation in a variety of environments, and wireless communication and radio wave propagation. He is a member of the University Senates Conference.

ANNA LYSAKOWSKI, Professor, Department of Anatomy and Cell Biology, College of Medicine (Chicago)

Professor Lysakowski's research interests focus on the organization, physiology, and function of the vestibular sensory apparatus from cellular to system levels, and how sensory information is perceived and controlled by the brain.

JOYCE TOLLIVER, Associate Professor, Department of Spanish, Italian and Portuguese, College of Liberal Arts and Sciences (Urbana)

Professor Tolliver's research focuses on gender, sexuality, and discourse in Spain since the 19th century as well as on translation studies. She has been a prominent leader in the faculty senate at the Urbana-Champaign campus for the past several years. She currently serves on the University Senates Conference.

JORGE VILLEGAS, Associate Professor, Department of Business Administration, College of Business and Management (Springfield)

Professor Villegas' research focuses on two major areas: the influence of messages on individuals' affective and cognitive processes and organizational creative processes and values in advertising agencies. He serves as the Chair of UIS Campus Senate (2014-2015) and is a member of the University Senates Conference.

MITRA DUTTA, Professor, Department of Electrical and Computer Engineering, College of Engineering; and Vice Chancellor for Research (Chicago)

Professor Dutta's research interests focus on optoelectronic devices and novel quantum and nanoscale devices, as well as the optical characterization of devices and structures. She served as Head of the Department of Electrical and Computer Engineering before becoming Vice Chancellor for Research at the Chicago campus in 2012.

LYNN PARDIE, Professor, Department of Psychology, College of Liberal Arts and Sciences; Provost and Vice Chancellor for Academic Affairs & Provost (Springfield)

Professor Pardie's academic interests include clinical assessment, program evaluation, integrative theories of psychological development, and sexual orientation issues. She has held a number of administrative appointments, including Chair of the Psychology Department and Associate Vice Chancellor for Graduate Education & Research. She was named Vice Chancellor for Academic Affairs & Provost in 2012.

WILLIS REGIER, Director, University of Illinois Press (University Administration) Mr. Regier's academic interests lie in a variety of literature areas: Lincoln Studies; Ancient Religion; and Nietzsche Studies are but a few. He has served as Director of the Press since 1999 working to broaden the list of productions while continuing to build upon prior strengths. The University of Illinois Press publishes over thirty scholarly journals.

PETER SCHIFFER, Professor, Department of Physics, College of Engineering; and Vice Chancellor for Research (Urbana)

Professor Schiffer's research interests involve the study of novel magnetic materials which act as model systems that explore new physics, including magnet spin and frustration within nanostructures that can be observed through magnetic force microscopy. He moved from Penn State, where he was Associate Vice President for Research, to become Vice Chancellor for Research at the Urbana-Champaign campus in the fall of 2012.

RICHARD WHEELER, Professor, Department of English, College of Liberal Arts and Sciences, and Visiting Associate Vice President for Academic Affairs (University Administration)

Professor Wheeler's scholarly work has been primarily in Shakespearean studies. He was Head of the English department for eleven years, and previously served as Dean of the Graduate College, Vice Provost, and Interim Provost of the Urbana-Champaign campus.

Non-Voting Members:

HOLLY FALK-KRZESINSKI, Vice President, Global Academic and Research Relations, Elsevier, Chicago, IL

Dr. Falk-Krzesinski's interests are focused on strategic initiatives, partnerships and stakeholder needs at research institutions and federal funding agencies. She continues as a faculty member at Northwestern University where she teaches grantsmanship courses.

MARTIN FRANK, Executive Director, The American Physiological Society, Bethesda, MD Serving as Executive Director since 1985, Dr. Frank helped to found the Washington, DC Principles Coalition for Free Access to Science, a Coalition that represents approximately 70 not- for-profit societies and university press publishers.

SCOTT RICE, Campus Legal Counsel

Scott is the Campus Legal counsel for the Urbana-Champaign campus and serves on the Chancellor's cabinet. He joined the Office of University Counsel in 2005 and has been Campus Legal Counsel at Urbana since 2011. Prior to joining the University, Scott had significant experience in a national architecture and engineering corporation as well as all three branches of Illinois State Government. His responsibilities include a number of specific practice areas including governance, claims and disputes, capital and infrastructure, and investigative matters.

Appendix 3: Federal Public Access Policies and Open Access Policies and Implementations at Peer Institutions

Prepared for the OARAA Task Force by Sarah L. Shreeves

This report outlines the public access policies at the federal level as well as provides an overview of open access policies and support at peer institutions. Peer institutions include the members of the CIC as well as the peers listed by the UI Office for Planning and Budget at <http://www.pb.uillinois.edu/dr/links.cfm>.

Federal Public Access Policies:

There are really two major areas for discussion within the Federal government: the National Institutes of Health (NIH) long standing Public Access Policy and the 2013 memorandum from the White House's Office of Science and Technology Policy which directs federal agencies to institute public access policies similar to the NIH policy.

National Institutes of Health

In 2005 the National Institutes of Health (NIH) enacted a voluntary Public Access Policy; this had a low compliance rate (approximately 19%). In 2008, through the Consolidated Appropriations Act, this voluntary act was changed to a requirement. The Public Access Policy (<http://publicaccess.nih.gov/>) states that:

The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central (<http://www.ncbi.nlm.nih.gov/pmc/>) an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, That the NIH shall implement the public access policy in a manner consistent with copyright law.

The compliance rate was at about 75-80% as of 2012, but now appears to be much higher, because NIH announced that as of Spring 2013, it would withhold funds from grantees who were not in compliance with the open access policy.

It should be noted that many publishers work directly with PubMed Central to provide the manuscript or the published version of an article (the author will be asked to indicate on the copyright transfer or license agreement whether the research described in the article was funded by the NIH). This minimizes the need for the author to upload the manuscript directly; in addition, NIH has provided tools such as My NCBI (<http://publicaccess.nih.gov/communications.htm>) which allows investigators to attach PMC IDs to their bibliography of papers to show compliance. Since 2009, 6437 author manuscripts and open access articles where at least one author had an affiliation with the University of Illinois were made publicly available in PubMed Central.

Office of Science and Technology Policy Memorandum

In February 2013, John P. Holdren, Director of the Office of Science and Technology Policy (OSTP) of the White House, issued a memorandum directing all federal agencies with over \$100 million in research and development expenditures to "develop a plan to support increased public access to the results of research funded

by the Federal Government.” This includes both published peer-reviewed research as well as unclassified research data.

See http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf for the full memorandum.

The memorandum sets out a number of elements that must be addressed in each plan, as well as a set of objectives to which each plan must adhere. These include in synopsis form:

- Provision of public access (for reading, downloading, and analysis) in digital form to the final peer reviewed manuscripts or final published articles within an appropriate timeframe. The memorandum specifies that the agencies should consider the 12 month post-publication embargo period as a guideline, but that that embargo can be tailored as appropriate.
- Assurance of full public access to publications’ metadata without charge upon publication.
- Encouragement of public-private collaboration to meet the goals including use of existing archives (or repositories) as well as partnerships with journals and publishers.
- Maximizing provision of public access to research data where possible (i.e. where issues such as privacy, confidentiality, proprietary ownership, and export control do not prevent this).
- A requirement that all researchers receiving federal grants for scientific research will develop data management plans, including a description of how they will provide for the long-term preservation of and access to research data.
- Promotion of the deposit of data in publicly accessible databases where appropriate.

In May 2013 the National Research Council Division on Behavioral and Social Sciences and Education organized two meetings on behalf of a group of cooperating agencies to provide a place for stakeholder and public comment. See http://sites.nationalacademies.org/DBASSE/CurrentProjects/DBASSE_082378#.UYm345W9pjC

In the wake of the memorandum, there were two major proposals from external stakeholders floated:

- The Clearinghouse for the Open Research of the United States (CHORUS) from a group of over 100 publishers and related organizations. See <http://chorusaccess.org/>.
- Shared Access Research Ecosystem (SHARE) from the Association of Research Libraries (ARL), the Association of American Universities (AAU), and the Association of Public and Land-grant Universities (APLU). See <http://www.arl.org/focus-areas/public-access-policies/shared-access-research-ecosystem-share>.

Agencies were to submit their draft plans to the OSTP within six months of the memorandum (in late August 2013); OSTP would work closely with the Office of Management and Budget to review the draft plans and to provide guidance on the

final plans. As of this date, there has been no word from the OSTP as to the status of these plans, or what implementation of the public access policy might look like. In March 2014, the Frontiers in Innovation, Research, Science and Technology Act (FIRST) Act (HR 4186) was introduced by Representatives Larry Bucshon (R-IN) and Lamar Smith (R-TX). Section 303 of the FIRST Act would call for additional 18 months of study on public access policies and would set the embargo guideline to 24 months from 12 months.

Impact of Federal Public Access Policies on an Open Access Policy at the University of Illinois

The NIH public access policy as well as the forthcoming policies from other federal agencies could have a range of impacts on any potential open access policy at the University of Illinois. If compliance with federal policy meant use of something similar to PubMed Central, the University could simply link out to the work once it was made publicly available.

However, depending on implementation plans and reliance on use of existing infrastructure (perhaps a mix of institutional repositories like IDEALS as well as publisher solutions such as CHORUS) tracking compliance with both a federal and a university policy could be complicated; in addition educating faculty about the different policies and implementations could be quite difficult. It would be natural that faculty as well as the University would pay much closer attention to the funding agencies policies – particularly if non-compliance threatens funding, as in the case of NIH – than to University policies. **It is important to ensure that such policies are well aligned to minimize potential confusion and conflict.**

Peer Institutions:

The following is an analysis of the open access policies and practices at peer institutions. Peer institutions include the members of the CIC as well as the peers listed by the University Office for Planning and Budget at <http://www.pb.uillinois.edu/dr/links.cfm>. Peer institutions were examined for:

- Open access policies in place for faculty research
- Open access policies in place for any other types of content (theses and dissertations, for example)
- Support for open access publishing in the form of a fund to pay article processing charges (APC)
- Whether or not there is an institutional repository in place
- Where or not there has been any action in the faculty senate around open access
- Other comments

This was compiled through examination of websites, the Registry of Open Access Repositories Mandatory Archiving Policies at <http://roarmap.eprints.org/>, the Compact for Open Access Publishing Equity (COAPE) at <http://www.oacomact.org/>, the Coalition for Open Access Policy Institutions (COAPI) at <http://www.sparc.arl.org/COAPI>, and queries sent to colleagues at the institution.

This table is also available at: <http://goo.gl/5oENMa> in spreadsheet form (via Google documents). Anyone with this link can comment on this document.

Table 1 - Peer Institutions OA Policies and Actions

Institution	Category	OA policy for faculty research	OA actions in academic senate	OA policy for other content	Fund to support OA publishing	Institutional repository providing OA to research and scholarship	Other comments
Indiana University	CIC	No	None found	Dissertations can be published OA but not required	No	IU ScholarWorks: https://scholarworks.iu.edu/dspace/	Provides an OA publishing platform for journals
Ohio State University	CIC	No	Discussions only	OA ultimately required for ETDs with a possible embargo	No	Knowledge Bank: https://kb.osu.edu/dspace/	Provides an OA publishing platform for journals
Penn State University	CIC	No	Discussions only	Dissertations can be published OA but not required	No	ScholarSphere: https://scholarsphere.psu.edu/	
Purdue University	CIC	No	In Jan 2012 the University Senate voted to recommend that the University adopt an open access policy but after discussion with senior administrators and deans of the schools and colleges it was felt that additional conversations with faculty would be important to secure	Dissertations can be published OA but not required	No	Purdue E-Pubs: http://docs.lib.purdue.edu/	

			collective interest and support for an open access policy.			
Rutgers University	CIC	Yes, see http://www.libraries.rutgers.edu/researchers/open_access	Enacted OA policy	OA ultimately required for ETDs with a possible embargo	No	RU Core: http://rucore.libraries.rutgers.edu/
University of Iowa	CIC	No	Discussion held as recently as October 2013	OA ultimately required for ETDs with a possible embargo	Yes, see http://guides.lib.uiowa.edu/OAfund	Iowa Research Online: http://ir.uiowa.edu/
University of Minnesota	CIC	No	None found	None found	Yes, see https://www.lib.umn.edu/scholcom/open-access-publishing-fund	Digital Conservancy: http://conservancy.umn.edu/
University of Nebraska-Lincoln	CIC	No	None found	None found	No	Digital Commons@University of Nebraska: http://www.unl.edu/facultysenate/
Arizona State University	UIC Peer	No; the university library faculty have enacted an OA policy for themselves	None found	Dissertations can be published OA but not required	No	ASU Repository: http://repository.asu.edu/
Florida State University	UIC Peer	No	Open Access Resolution in 2011 endorsing OA. See https://www.lib.fsu.edu	OA ultimately required for ETDs with a possible	Yes. See https://www.lib.fsu.edu/tads/open-access-fund	DigiNole Commons: http://diginole.lib.fsu.edu/etd/

			du/tads/open-access-policy	embargo			
Temple University	UIC Peer	No	None found	OA ultimately required for ETDs with a possible embargo	No	Some scholarship in the Temple Digital Collections: http://digital.library.temple.edu/cdm/	
University of Arizona	UIC Peer	No	None found	OA ultimately required for ETDs with a possible embargo	No	University of Arizona Campus Repository: http://arizona.openrepository.com/arizona/	
University of California - Davis	UIC Peer	Yes. See http://osc.universityofcalifornia.edu/open-access-policy/	Enacted OA policy	None found	Yes. See http://guides.lib.ucdavis.edu/friendly.php?s=openaccess	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals
University of California - Irvine	UIC Peer	Yes. See http://osc.universityofcalifornia.edu/open-access-policy/	Enacted OA policy	None found	A pilot was done in 2012: http://www.lib.uci.edu/about/projects/scamp/ucilibraries-open-access-publishing-fund.html	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals
University of California - Riverside	UIC Peer	Yes. See http://osc.universityofcalifornia.edu/open-access-policy/	Enacted OA policy	None found	No	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals
University of	UIC	Yes. See	Enacted OA policy	None found	Yes, see	EScholarship:	The California Digital

California - Santa Barbara	Peer	http://osc.universityofcalifornia.edu/open-access-policy/				http://www.library.ucsb.edu/scholarly-communication/ucsb-open-access-fund-pilot-program	http://escholarship.org/	Library also supports publishing of OA journals
University of Delaware	UIC Peer	No	None found	None found	No		UDspace: http://udspace.udel.edu/	
University of Florida	UIC Peer	No	Discussion in Faculty Senate; proposed OA policy in 2009	OA ultimately required for ETDs with a possible embargo	Ran a pilot, but currently not continuing unless indication of support from campus units: http://cms.uflib.ufl.edu/ScholComm/openaccess		IR@UF: http://ufdc.ufl.edu/ir	
University of Georgia	UIC Peer	No	None found	OA ultimately required for ETDs with a possible embargo	No		Galileo: http://www.galileo.usg.edu/welcome/	
University of Hawaii - Manoa	UIC Peer	Yes. See http://library.manoa.hawaii.edu/about/scholcom/oaatuhm.html	Enacted OA policy	None found	No		ScholarSpace: https://scholarspace.manoa.hawaii.edu	
University of Massachusetts - Amherst	UIC Peer	No. UMass Medical School does however. See	Resolutions supporting OA	OA ultimately required for ETDs with a possible	No		Scholarworks: http://scholarworks.umass.edu/	

			http://library.umassmed.edu/oa_policy		embargo			
University of Oregon - Eugene	UIC Peer	No. Two depts have OA policies (Library Faculty and Dept of Romance Languages)	Committees to investigate OA policies	None found	Yes. See https://library.uoregon.edu/scis/sc/oaps-form.html	Scholar's Bank: https://scholarsbank.uoregon.edu/xmlui/		
University of Utah	UIC Peer	No	None found	None found	Yes. See http://www.lib.utah.edu/services/open-access-publishing-fund.php	USpace: http://uspace.utah.edu/		
University of Vermont & State Agricultural College	UIC Peer	No	Limited discussions within the Library Committee of the Faculty Senate	None found	No	ScholarWorks@UVM: http://scholarworks.uvm.edu/		
Virginia Commonwealth University	UIC Peer	No	Resolution supporting open access publishing	OA ultimately required for ETDs with a possible embargo	No	No		
Virginia Polytechnic Institute & State University	UIC Peer	No. The Library faculty do have an open access policy.	Some discussions within Senate	OA ultimately required for ETDs with a possible embargo	Yes. See http://www.lib.vt.edu/oafund/index.html	VTechWorks: http://vtechworks.lib.vt.edu/		
Wayne State University	UIC Peer	No	None found	Dissertations can be published OA but not required	No	Digital Commons@WSU: http://digitalcom	Offers publishing services for OA journals	

mons.wayne.edu/

Michigan State University	UIC Peer; CIC	No	Some discussion with University Committee on Library.	None found	No	No
University of Maryland - College Park	UIC Peer; CIC	No	An attempted OA policy failed.	OA ultimately required for ETDs with a possible embargo	Yes. See http://www.lib.umd.edu/oa/openaccessfund	DRUM: http://drum.lib.umd.edu/
Auburn University	UIS Peer	No	None found	OA ultimately required for ETDs with a possible embargo	No	Aurora: http://aurora.auburn.edu/repo/
Clark University	UIS Peer	No	None found	None found	No	Clark Digital Commons: http://commons.clarku.edu/
College of Charleston	UIS Peer	No	None found	None found	No	No
Georgia College and State University	UIS Peer	No	None found	None found	No	No
Iona College	UIS Peer	No	None found	None found	No	No
Lake Superior State University	UIS Peer	No	None found	None found	No	No
Marist College	UIS Peer	No	None found	None found	No	No

Northern Michigan University	UIS Peer	No	2007 resolution in support of open access	None found	No	The Commons: http://commons.nmu.edu/
Shippensburg Univ.	UIS Peer	No	None found	None found	No	No
SUNY College at Brockport	UIS Peer	No	None found	OA ultimately required for theses with a possible embargo	No	Digital Commons@Brockport: http://digitalcommons.brockport.edu/
Trinity University	UIS Peer	Yes. See http://www.trinity.edu/org/senate/Trinity%20University%20Open%20Access%20Policy.pdf	Enacted OA policy	None found	No	Digital Commons@Trinity: http://digitalcommons.trinity.edu/
Union College (NY)	UIS Peer	No	None found	None found	No	No
University of South Dakota	UIS Peer	No	None found	None found	No	No
University of Wisconsin - Green Bay	UIS Peer	No	None found	None found	No	MINDS@UW Green Bay: https://minds.wisconsin.edu/handle/1793/8340
Brown University	UIUC Peer	No	Report recommending pursuing an open access policy in 2013.	OA ultimately required for ETDs with a possible embargo	No	Brown Digital Repository: https://repository.library.brown.edu/studio/

Columbia University	UIUC Peer	No campus wide policy but several departments and research institutes have OA policies. See http://scholcomm.columbia.edu/open-access/open-access-policies/	Endorsement of the principle of OA in 2005; Several presentations on OA (including from the University Librarian); petition for an OA policy; OA policies instituted in handful of schools and research centers	None found	Yes, see http://scholcomm.columbia.edu/services/coap-fund/	Academic Commons: http://academiccommons.columbia.edu/	The Library publishes several OA journals
Duke University	UIUC Peer	Yes. See p.44 of http://provost.duke.edu/wp-content/uploads/FHB_App_P.pdf . Enacted in 2010.	Enacted OA policy	OA ultimately required for ETDs with a possible embargo	Yes, see http://library.duke.edu/research/openaccess/cope	DukeSpace: http://dukespace.lib.duke.edu/dspace/	
Johns Hopkins University	UIUC Peer	No		OA ultimately required for ETDs with a possible embargo	Yes, see http://guides.library.jhu.edu/oapf	JScholarship: http://jscholarship.library.jhu.edu/	Membership in several OA publishers: http://guides.library.jhu.edu/content.php?pid=315747&sid=2583679
New York University	UIUC Peer	No	None found	None found	No	Faculty Digital Archive: http://archive.nyu.edu/	
UC Berkeley	UIUC Peer	Yes. See http://osc.universityofcalifornia.edu/open-access-	Enacted OA policy	None found	Yes, see http://www.lib.berkeley.edu/brii/	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals

			policy/					
UC San Diego	UIUC Peer		Yes. See http://osc.universityofcalifornia.edu/open-access-policy/	Enacted OA policy	None found	Pilot fund in 2012: http://ucsd.libguides.com/openaccess	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals
UCLA	UIUC Peer		Yes. See http://osc.universityofcalifornia.edu/open-access-policy/	Enacted OA policy	None found	No	EScholarship: http://escholarship.org/	The California Digital Library also supports publishing of OA journals
UNC - Chapel Hill	UIUC Peer	No		Open Access Task Force formed Feb 2014: http://faccoun.unc.edu/committees-2/ad-hoc-committees/open-access-task-force/	None found	Pilot but no longer active: http://guides.lib.unc.edu/content.php?pid=121319&sid=1262572	Carolina Digital Repository: https://cdr.lib.unc.edu/	
University of Pennsylvania	UIUC Peer	No		The Faculty passed an Open-Access Statement of Principles for Scholarly Articles in 2011 - See more at: http://www.upenn.edu/almanac/volumes/v58/n03/openaccess.html#sthash.s1bYQY77.dpuf . This was not an open access policy	Dissertations can be published OA but not required	No	Scholarly Commons: http://repository.upenn.edu/	

University of Rochester	UIUC Peer	No	None found	None found	No	UR Research: https://urresearch.rochester.edu/home.action
University of Southern California	UIUC Peer	No	None found	OA ultimately required for ETDs with a possible embargo	No	Some materials available in the USC Digital Library
University of Texas – Austin	UIUC Peer	No	Discussions with recommendations for continued discussion	OA ultimately required for ETDs with a possible embargo	No	UT Digital Repository: http://repositories.lib.utexas.edu/
University of Washington	UIUC Peer	No	Senate passed a Resolution Concerning Scholarly Publishing Alternatives and Authors’ Rights in 2009. See http://www.lib.washington.edu/scholpub/actions/openaccessresolution/at_download/file	OA ultimately required for ETDs with a possible embargo	No	Research Works Archive: https://digital.lib.washington.edu/researchworks/
Washington University	UIUC Peer	No	Faculty Senate adopted an Open Access Resolution (not a policy) in 2011: http://news.wustl.edu/Documents/Record/OpenAccessResoluti	Dissertations can be published OA but not required	No	Open Scholarship: http://openscholarship.wustl.edu/

on.pdf

Yale University

UIUC Peer

No

Just forming faculty senate

Yes, Yale University's Open Access Policy provides license- and royalty- free access to digital images of public domain materials in Yale collections. Open access digital images may be used by anyone for any purpose. See <http://ydc2.yale.edu/documentat ion/faq-open-access-digital-representations-works-public-domain-museum-library-and-archive>

No

EliScholar:
<http://elischolar.library.yale.edu/>

Appendix 4: Reports of OARAA Implementation Scenarios Task Forces

University of Illinois at Urbana-Champaign

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Task Force Members:

Sarah Shreeves (Chair)

Kirstin Dougan

Tom Habing

MJ Han

Bill Mischo

Nancy O'Brien

Vetle Torvik

Sarah Williams

Executive Summary:

The Open Access (OA) Implementation Scenarios Task Force was charged with considering the technical, workflow, and resource requirements needed for the Library to best support an OA policy and to prepare a report that outlines potential workflows, technical infrastructure, and resource requirements to support an OA policy for the UIUC.

Because we were asked to consider implementation scenarios for an OA policy that has not yet been decided upon, we found it useful to lay out assumptions that informed our discussions and recommendations. Many of these are based on a broader assumption that an OA policy would look very similar to that put together by the University of California system, Harvard, MIT, and others. These included that the policy would apply to tenured and tenure track faculty, that the policy would be a permission based policy (i.e. the faculty would grant specific nonexclusive rights to the university, that the policy would apply principally to journal articles, and that there would be an article level opt out policy.

The Task Force considered a range of scenarios, but concentrated mostly on two ends of the spectrum: minimal and full support.

A minimal support scenario means that there would be no support outside of what already exists to assist faculty in depositing articles in IDEALS to meet the policy and that there would be a very small investment in IDEALS to modify the metadata to allow faculty to indicate they were depositing as a condition of the OA policy. We estimate the one-time costs to be \$7,300 while ongoing costs would be \$23,739 per year. However, the Task Force cautions that minimal support would likely mean a very small percentage of faculty would participate in the OA policy.

A full support scenario would include negotiation with publishers, training and documentation, marketing, a technical infrastructure that, while reliant on the actions of faculty members, would be as automated as possible, and a means for departments and others to check compliance with the policy. The total one-time cost if all recommendations are implemented is estimated at \$222,251, while total ongoing costs if all recommendations are implemented, would be \$102,145 per year. The Task Force predicts that this scenario would result in similar participation rates to MIT (which are now at about 60% of faculty depositing or opting out).

There are scenarios that run somewhere in the middle between the two, and at least two potential alternative scenarios are included in the last section of the report.

Introduction and Assumptions

The Open Access Implementation Scenarios Task Force was charged with considering the technical, workflow, and resource requirements needed for the Library to best support an OA policy and to prepare a report that outlines potential workflows, technical infrastructure, and resource requirements to support an OA policy for the UIUC. See Appendix A for the charge and membership of the Task Force.

The Task Force began its work by discussing the charge and looking closely at the Illinois Open Access to Research Articles Act (Public Act 098-0295). We then examined the open access policies of several institutions as well as the accompanying infrastructure and workflows that could be found on the open web. We also contacted colleagues at institutions to ask more specific questions about workflows, and considered the current infrastructure at Illinois. The Task Force then turned to talking through what the workflow for an OA policy might look like and the infrastructure that would be needed to support it.

Because we were asked to consider implementation scenarios for an OA policy that has not yet been decided upon, we found it useful to lay out assumptions that informed our discussions and recommendations. **Many of these are based on a broader assumption that an OA policy would look very similar to that put together by the University of California system, Harvard, MIT, and others** (see Appendix B for a comparison of these three policies).

These assumptions are:

- The OA policy will focus on journal articles or a type of output as defined by a department (for example, computer science may choose to include conference papers in addition to journal articles). This report calls whatever is deposited the ‘work’.
- The version that can be made openly available will be the final author’s manuscript post peer-review (sometimes called a postprint) or the published version as possible.
- The policy will be a permissions based policy in which the faculty grants the University rights to make available the work in an OA repository. This license makes it unnecessary for the faculty to negotiate with publishers. See the discussion here on this policy: <https://blogs.law.harvard.edu/pamphlet/2012/09/17/is-the-harvard-open-access-policy-legally-sound/>
- The policy will apply to faculty in the tenure system, but others (research faculty, adjunct faculty, post-doctoral fellows) will be encouraged to provide open access.
- A waiver that will allow faculty to opt out of the policy on a work by work basis will be included.
- The Library in collaboration with other appropriate units (such as CITES and AITS) will manage the implementation and infrastructure for the OA policy, and will work closely with the office responsible for administering the policy itself.
- If a faculty member publishes in an open access venue or makes their publication openly available via another OA repository (arXiv or PubMed Central, for example), this will be sufficient to meet policy.
- IDEALS (<http://www.ideals.illinois.edu/>) will serve as the open access repository.
- The policy will apply to all articles going forward and will not be retroactive, although

IDEALS would continue to accept older material.

- The implementation of an OA policy, while reliant on the actions of faculty members, should be as automated as possible.

The Task Force sees a continuum of scenarios for implementation of an OA policy. **There is no scenario which does not rely on actions by the faculty.** Because of publisher policies, the majority of deposits would have to be the author's final manuscript (post-peer review); this would require the faculty member to provide her last copy.

The two ends of the continuum are:

- 1) *Scenario 1: Minimal support or infrastructure for an OA policy.* In this scenario, the expectation is that faculty will deposit works into IDEALS on their own accord with no intervention by the campus outside of what already exists in the Library (consultation on publication agreements and directions on how to deposit into IDEALS). Faculty could indicate whether or not they took an action (deposit or opt out) on a work via their annual report. The additional resources needed to support this scenario are very low. However, the Task Force predicts that this scenario would result in very low participation rates, as there is no tracking of faculty publications, outreach to faculty, or other support mechanisms that would encourage and ease faculty participation.
- 2) *Scenario 2: Full support for an OA policy.* This would include negotiation with publishers, training and documentation, marketing, a technical infrastructure that, while reliant on the actions of faculty members, would be as automated as possible, and a means for departments and others to check compliance with the policy. The Task Force predicts that this scenario would result in similar participation rates to MIT (which are now at about 60% of faculty depositing or opting out).

The Task Force conducted an analysis of what would be necessary to implement Scenarios 1 and 2 with the recognition that actual implementation may sit somewhere between the two. The last section of the report attempts to provide a cost continuum of possible options.

With all of these scenarios, costs are estimates, though, in the cases of salaries, based on standard salary ranges. Benefit costs are not included.

Implementation of Scenario 1: Minimal Support

As stated above minimal support for an OA policy would require very little resources, but would mean very low participation. The implementation of Scenario 1 would require:

- A modification of the IDEALS deposit process to allow a faculty member (or her proxy) to indicate whether the deposit was in accordance with the OA policy.
- A web form to allow faculty to opt out of the policy on a case by case basis. This web form would automatically generate a letter granting permission to the faculty member to opt out.
- An expectation that faculty would indicate on their annual reports (required by Communication No. 21) whether publications covered by the OA policy had been deposited or whether the faculty member had opted out.
- Development of a website with basic information on the OA policy and information on how to deposit into IDEALS (These directions already exist on the IDEALS website).
- A consultation service for faculty to assist with interpretation of copyright transfer agreements and publisher policies. (Service already exists in the Scholarly Commons of the University Library.)

The resources required for the implementation of this policy in the Library would be:

- Approximately 20% of the IDEALS Coordinator (ongoing) to manage the implementation, as well as to provide the consultation service for faculty (roughly \$15,513).
- Approximately 120 hours of programmer support to make the minimal metadata and interface changes necessary to IDEALS. Rough estimate of cost would be \$6,500.
- Approximately 40 hours of one-time graduate hourly support to create website and to develop web form for the opt-out process. Cost would be \$800.
- Approximately 5 hours a week of ongoing graduate hourly support to assist with deposit and interpreting publisher policies. Cost would be \$5,226 per year.

Again, the Task Force stresses that Scenario 1 would meet with very little uptake by the faculty as there would be little support for deposit, and no facility for prompting faculty to deposit at publication.

One-time costs:	\$7,300
Ongoing costs:	\$20,739 (per year)

Implementation of Scenario 2: Full Support

The full support for an OA policy has several distinct but interrelated parts:

- 1) Overall coordination of the implementation of an OA policy;
- 2) Negotiation and clarification of publisher cooperation with policy;
- 3) The technical infrastructure for support of an OA policy; and
- 4) Communications, including marketing, documentation, and training for all of the above.

Each of these is described below and includes an account of potential resources needed.

Note: The infrastructure and costs outline here are based on the assumption that the campus will purchase and implement a faculty profile system that will allow export and reuse of metadata describing faculty works. The costs for purchasing and implementing this system are NOT included below.

1. Overall coordination of the implementation of an OA policy

In order to coordinate Scenario 2 – full support of an OA policy – the Task Force believes that for the implementation period (which we expect would take a period of a year) we would need to have a designated project manager at about 75% FTE (roughly \$58,175 if the IDEALS Coordinator were to serve in this role) in addition to a 50% Graduate Assistant appointment (\$15,615 at a 9 month rate). The Task Force believes that this work should be based in the Scholarly Commons.

For ongoing support, the Task Force estimates that the IDEALS Coordinator would need to spend approximately 50% of her time on the OA policy. The Task Force recommends that the Graduate Assistantship-dedicated to the OA policy-continue as well at 50%.

One-time costs: \$73,790

Ongoing costs: \$54,395 (per year)

2. Negotiation and clarification of publisher cooperation with policy

Although a permissions based OA policy gives an institution the right to deposit a work without a faculty member needing to negotiate rights with a publisher, in some cases, publishers will require that a faculty member opt out of an OA policy if they are to publish a work, or they may specify that the published version of a work may not be made openly available. Navigating the publisher policies and understanding the intricacies of publishing agreements are obstacles to faculty participation in an OA policy. In addition, where publishers allow the published version of a work to be made openly available, it is not clear whether the author or the Library could secure

that work directly from publishers' sites to which we license access as this could be a violation of a license agreement.

In order to minimize these obstacles, the Task Force recommends that the Library engage with publishers to help clarify publisher policy as well as to explore options to secure works beyond relying on the faculty author to do so. In addition, the Library should maintain a list of publishers that allow the author to deposit the published version of an article or that require the author to opt out of the policy as a condition of publication. This could be similar to the MIT Libraries list found here: <http://libraries.mit.edu/scholarly/mit-open-access/open-access-at-mit/mit-open-access-policy/publishers-and-the-mit-faculty-open-access-policy/>.

Resources Needed:

The work of clarification and negotiation with publishers will fall to the Office of Collections as well as Acquisitions, and would likely include the AUL for Collections and other collections staff. This would be a higher time commitment at the start of the implementation process, but will be ongoing particularly as publisher policies around open access continue to shift. The Task Force estimates 20% of an FTE to start (roughly \$21,000 if one includes the staff who often negotiate), tapering to 5-10% as this work becomes part of regular negotiations.

Graduate student or administrative support would be needed to maintain the list of publishers referenced above and be part of the graduate hourly support reference above.

One-time costs:	\$21,504
Ongoing costs:	\$4,500 (per year)

3. Technical infrastructure

The Task Force recommends that the technical infrastructure for the OA policy allow for the process to be as automated as possible, but also to easily allow faculty to comply directly with the policy without mediation. As mentioned above, the technical infrastructure outlined below assumes that the campus has in place a faculty profile system that allows export and reuse of metadata.

The technical infrastructure for an OA policy requires the following:

- A means to indicate whether a deposit made into IDEALS is in compliance with the OA policy (this will help to track manual deposits by faculty members made without mediation by the Library);
- Ability to generate an automatic waiver for the OA policy via a web form with a minimum of metadata (author name, article title, journal name at minimum);
- Identification of all faculty who are subject to the policy;
- Identification of works by these faculty that are candidates for deposit in compliance with

- policy (would require use of disambiguation tools such as netIDs, ORCID IDs, or a verification step);
- Deduplication of identified works where necessary;
 - Identification of which works may have the published version deposited in IDEALS, which require that the author's final manuscript version be deposited, and which require the author to opt out;
 - Automated notification to faculty that a work may be a candidate for deposit in compliance with policy;
 - A repository (or a holding area) into which an author or her proxy may deposit a work;
 - A means to record whether a work is already openly available;
 - A means to indicate in the repository that the work has been deposited in accordance with the policy;
 - A means to harvest works in bulk, where possible, for deposit into IDEALS;
 - A means to record whether the work is already openly available; and
 - A means to report out on the above. In particular, if the campus expects to check compliance there will need to be a means to report that.

This infrastructure would need to integrate with several external systems and data sources:

- *Identity management and authorization systems on campus.* In particular, the identification of faculty to whom the policy applies would require working with AITS and CITES. The potential use of ORCID IDs (see <http://www.orcid.org/>) would be more useful if ORCIDs were integrated into the Identity management systems on this campus. In addition, use of Active Directory groups may assist in managing permissions for deposit.
- *Abstracting and Indexing Services and/or a Current Research Information System:* The infrastructure would need to identify works that are potential candidates for deposit; this would require setting up sets of queries to a range of abstracting and indexing (A&I) services or working with a Current Research Information System (CRIS) – sometimes called a faculty profile system - which already does this (such as Elsevier's SciVal or Symplectic's Elements). The Office of the Vice Chancellor for Research and the University Library are currently investigating a faculty profile system; a requirement for such a system should be that it allows the full export of metadata and faculty information.
- *Sherpa/Romeo Database of Publisher Self-Archiving Policies:* The Sherpa/Romeo database has an open API which can be used to query publisher policies for self-archiving in a repository. It would be an especially useful tool for querying whether a publisher allows the final PDF version of an article to be deposited.
- *Publisher Databases:* Where possible (and where we have appropriate permissions), we would like to harvest publications directly from publisher websites. This may be as simple as using DOIs to identify PDFs to download or, in some cases, utilizing APIs to identify and download PDFs via affiliation. In other cases, gaining access to the PDF may require web scraping or even manual intervention.
- *IDEALS:* As stated in the assumptions above, IDEALS will serve as the open access repository for compliance with the policy.

The Task Force believes that this technical infrastructure should not be implemented directly in IDEALS. While the software (DSpace) underlying IDEALS is open source, and could potentially be altered to meet many of the requirements above, the Library is reluctant to continue to stray too far from the source code and community. **Thus the Task Force believes that the technical infrastructure will require a middle layer for many of the elements above.** This is in line with many of the institutions which have publicly described their implementations of OA policies; most employ a variety of homegrown or commercial services to manage the identification and deposit of works. The repository serves as the final resting and access point for the work.

See Appendix C for a possible workflow for this infrastructure.

Resources Needed:

The development and maintenance of the technical infrastructure would require a small team including:

- 30% of the Manager, Repository Services to oversee the technical development and architecture (\$21,411)
- 1.5 FTE of programming support (\$55,000 per FTE = \$82,500) for a year to support:
 - Database design and development (30%)
 - Managing imports and exports to and from external systems including deposit to IDEALS (20%)
 - Harvesting publisher pdfs where permitted (10%)
 - Generating reports for compliance purposes (10%)
 - Programming logic to determine what can be deposited and what version (15%)
 - Implementing changes in IDEALS to clearly identify materials deposited as a result of the policy (5%)
 - Web form and automated email generation (5%)
 - Other technical requirements (5%)
- 10% FTE of a user experience designer for a year to ensure web forms, reports, and other technical infrastructure are designed for maximum ease of use. (\$6,000)
- 15% of a metadata librarian for a year in order to ensure appropriate mappings and other metadata related work as data moves through multiple systems. (\$10,046)
- 15 hours a week of graduate support to aid in technical implementation (for example, managing user testing and developing rules to determine what can be deposited). This could be included within the Graduate Assistant recommended above.

We estimate approximately 75% FTE of a developer to provide ongoing support. Ongoing support would include updates, bug fixes, coping with changes in external systems, policy changes, and what we believe would be increased user requirements for IDEALS given the higher exposure it will receive.

One-time costs:	\$119,957
Ongoing costs:	\$41,250 (per year)

4. Communication (marketing, documentation, training)

A key to a successful implementation of an OA policy is to have a strong communication plan. While it is possible for the collection of a list of publications coming out of the institution to be centralized, the actual deposit of much of this output is reliant on the faculty member to provide a copy of their final manuscript version (post-peer review) of the article. In addition, the Task Force expects that many faculty will rely on proxies (whether students, administrative assistants, or others) to manage deposit processes; the Library will need to provide sufficient training and documentation to support a range of staff to interact with the deposit system.

Marketing Recommendations

1. Use the effective marketing program of the Scholarly Commons and IDEALS as a model to reach faculty. This includes collaborating with subject liaisons and others for conducting outreach with faculty.
2. Work with college communications officers and research deans, where appropriate.
3. Include advertising for the OA policy in IDEALS, the Library web site, and SFX. For example, a popup screen with a link to “learn more about our OA policy” that appears when individuals go to deposit in IDEALS.
4. If possible, integrate information about Open Access policies into the campus new faculty orientation program.
5. With liaison librarians, use knowledge of faculty research areas as a hook to encourage faculty to participate. As an example, look up the research of a faculty member, and send a request for deposit of material, mentioning a specific publication and its importance.
6. Venues for publicizing the Open Access deposit process include:
 - a. Inside Illinois and Eweek
 - b. Academic Senate for the Urbana-Champaign campus
 - c. College and department newsletters and faculty meetings
 - d. Dean’s Council
 - e. Communications directed to department heads
 - f. Subject librarians who can promote the marketing plan
 - g. Post card mailings
 - h. Flier/postcards for handing out at service points with information about the policy and directions for out to deposit.
 - i. Library digital signage venues
 - j. Information on the Office of the Vice Chancellor for Research website (as well as on the Research Board funding request website)

Documentation Recommendations

1. Create an FAQ for the policy.
2. Create documentation about how to deposit, how to opt out, etc.
3. Document which publishers are cooperating with the policy, i.e. which publishers accept manuscripts without an author having to amend the publishing agreement or having to opt out. MIT provides similar documentation here: <http://libraries.mit.edu/scholarly/mit-open-access/open-access-at-mit/mit-open-access-policy/publishers-and-the-mit-faculty-open-access-policy/>

Training Recommendations

1. Training materials and sessions should be created both for internal and external audiences (library staff and teaching faculty). Prepare slidesets that liaison librarians, research support staff, and others could use within a variety of settings.
2. Offer workshops, both general and targeted at particular colleges/disciplines.

Resources Needed

The Task Force believes that in order for the communication plan to be successful, the following resources will need to be in place:

- An individual (approximately 25% FTE for the implementation period) to coordinate the development of documentation and training materials. This is included in the manager position described in point 1.;
- Graduate student support to the development work (also included in GA position);
- Support from the Communications Officer (in particular on marketing materials and on making contact with Communication Officers of other colleges);
- Support from Staff Training and Development in order to provide training for Library faculty and staff on support for the OA policy;
- Support from all liaison librarians, particularly in making contact with departments and faculty;
- Graphic design support for creation of marketing and other materials (both print and web-based) (roughly \$4,000);
- Funds for printed materials and advertising. Roughly, \$3,000. For example:
 - o *Inside Illinois* ads
 - \$89.00 per 1/8 page black & white ad
 - o Postcards/fliers
 - Price dependent on size/amount/color ordered. For example, 150 quarter-sheet, black ink postcards cost approximately \$15.00

One-time costs: \$7,000
Ongoing marketing costs: \$2,000 (per year)

Total one-time costs if all recommendations implemented:	\$222,251
Total ongoing costs if all recommendations implemented:	\$102,145

Scenarios somewhere between minimal and full support

There are, of course, options between minimal and full support. Below are a summary of some of these options with estimates of cost.

Level of Support	Description	One Time Costs	Ongoing Costs
Minimal Support (Scenario 1 described above)	No support beyond bare minimum to implement policy in IDEALS. Likely to see very small uptake.	\$7,300	\$23,739
Full support without as much automation between the different streams of information and content.	This option would mean that instead of trying to automate as much as possible in terms of the several workflows, we would rely on hourly support to do the work to track whether publications can be deposited, whether faculty have opted out, etc. This option would require some technical development (but only about half of what is estimated for full support). We estimate approximately 20 hours a week of graduate hourly support ongoing in addition to the project manager and GA.	\$163,564	\$101,540
Full support without negotiation with publishers or attempts to harvest content from publishers (who do not already allow this)	This option would mean that we would rely on what we know of publisher policy to determine whether items can be included within the repository, and that we would not attempt to negotiate specific types of access or blanket agreements for our faculty. This would eliminate the cost of section 2 in Scenario 2 as well as a portion of programming cost.	\$192,497	\$83,895
Full support without compliance reporting	Includes all pieces in Full support except does not	\$211,000	\$96,645

	include reports out on compliance with policy [would eliminate part of the programming and user experience support)		
Full Support (Scenario 2 described above)	Full support, including negotiation with publishers, full technical infrastructure, marketing and communication, compliance reporting.	\$222,251	\$102,145

Appendix A:

Open Access to Research Articles Act Implementation Scenarios Task Force

Background:

Public Act 098-0295 or the “Open Access to Research Articles” Act requires that the University of Illinois (along with other public universities in Illinois) establish a Task Force to design a proposed policy (and, presumably, ultimately supporting systems and services) regarding open access for the scholarly articles produced at the University. The Act specifies a number of issues that the Task Force must consider when recommending such a policy. The Task Force must be put in place by January 2014, and the final report must be issued by January 2015. This Task Force will be named by the Board of Trustees later this year.

Charge:

In order to inform the work of the campus level Task Force and to address specific questions asked in the Act about implementation and cost, the Open Access to Research Articles Act Implementation Scenarios Task Force will consider the technical, workflow, and resource requirements needed for the Library to best support an OA policy. Recognizing that we cannot predict the exact shape of such a policy, the task force is likely to need to suggest different strategies contingent on various different outcomes. The group will prepare a report that outlines potential workflows, technical infrastructure, and resource requirements to support an OA policy for the UIUC. Using common elements of OA policies implemented at other institutions[i], this group will consider:

- How can the output of researchers best be identified?
- Can we get the metadata describing the output via automated means or do we rely on a self-reporting and submission system? Or a combination?
- How do we get the works themselves? What and how can we harvest works? Do we rely on a self-reporting and submission system? Or a combination?
- What would the ingest process into IDEALS look like?
- Assuming there is an opt-out or a waiver structure, what would that look like?
- How do we report out what was ingested, waived, and what has yet to be ingested?
- What are the training and documentation needs?

It will also be important to reflect on the resources needed to support the optimal configuration of services needed to support the policy. The task force will complete a draft of a report by November 2013, with a final report to the University Librarian by January 2014.

Membership:

The membership is meant to include both technical and subject expertise.

- Sarah Shreeves (Chair)
- MJ Han
- Tom Habing
- Bill Mischo
- Nancy O'Brien
- Kirstin Dougan
- Sarah Williams
- Vetle Torvik

[i] A helpful resource to consider is Ellen Duranceau and Sue Kriegsman's chapter, "Implementing Open Access Policies Using Institutional Repositories" at http://www.ala.org/alcts/sites/ala.org.alcts/files/content/resources/papers/ir_ch05_.pd

Appendix B: Comparison of Harvard, MIT, and University of California OA policies

This document is a comparison of the Harvard Faculty of Arts and Sciences, MIT, and University of California Open Access Policies as passed by their faculty senates. In particular, I was looking at the permissions granted, the scope, the version to be made available, who the policy applies to, whether there is a waiver, where responsibility rests, and any other significant differences. This was done to help an internal Library task force

(http://www.library.illinois.edu/committee/open_access_to_research_articles_act_implementation_scenarios/charge.html) tasked with identifying the infrastructure and resources needed to support an OA policy. Note that this only compares the actual policies, and not the supporting infrastructure.

Another useful tool to look at is the Model OA Policy developed by Stuart Shieber (Harvard University) https://osc.hul.harvard.edu/sites/default/files/model-policy-annotated_0.pdf

Areas of comparison

1. **Permissions granted** – Harvard and MIT specify that articles may not be sold for a profit; UC specifies that any further use by the University (besides putting into an OA repository) must be approved by the University Senate; UC also specifies that this is not a copyright transfer.
2. **Scope** – All the same. Scope is limited to “Scholarly Articles” though that is not defined.
3. **Version** – All specify that the faculty member will provide an electronic copy of the final version of the article. It is not specified whether this is the “final author’s version post peer-review” or the “final published version”
4. **Who the policy applies to** – Each applies to the Faculty, as it is the faculty that grants permissions, but it is not clear whether this would include adjunct faculty or other potential categories of faculty
5. **Waiver** – All include a waiver and use essentially the same language
6. **Responsibility** – Slightly different in all three
7. **Other differences** – Note that the University of California explicitly notes that if the item is published openly elsewhere, faculty may notify them of that; also note that UC is explicit that the policy does not limit the publication options available to faculty.

1. Permissions granted

Institution	Permissions granted
Harvard University	Each Faculty member grants to the President and Fellows of Harvard College permission to make available his or her scholarly articles and to exercise the copyright in those articles. In legal terms, the permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, 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 for a profit.
MIT	Each Faculty member grants to the Massachusetts Institute of Technology 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 MIT a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same.
University of California	Each Faculty member grants to 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, for the purpose of making their articles widely and freely available in an open access repository. Any other systematic uses of the licensed articles by the University of California must be approved by the Academic Senate. This policy does not transfer copyright ownership, which remains with Faculty authors under existing University of California policy.

2. Scope

Institution	Scope
Harvard University	The policy will apply to all scholarly articles written 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.
MIT	The policy will apply to all scholarly articles written 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.
University of California	The policy applies to all scholarly articles authored or co-authored while the person is a member of the Faculty except for any articles published 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

3. Version of submitted work

Institution	Version of submitted work
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Harvard University	Each Faculty member will provide an electronic copy of the final version of the article at no charge
MIT	Each Faculty member will make available an electronic copy of his or her final version of the article at no charge.
University of California	Each Faculty member who does not permanently waive the license will provide an electronic copy of his or her final version of the article to the University of California by the date of its publication, for inclusion in an open access repository.

4. Who the policy applies to

Institution	Who the policy applies to
Harvard University	Each Faculty member
MIT	Each Faculty member
University of California	Each Faculty member

5. Waiver

Institution	Waver
Harvard University	The Dean or the Dean's designate will waive application of the policy for a particular article upon written request by a Faculty member explaining the need.
MIT	The Provost or Provost's designate will waive application of the policy for a particular article upon written notification by the author, who informs MIT of the reason.
University of California	Upon express direction by a Faculty member, the University of California will waive the license for a particular article or delay access to the article for a specified period of time.

6. Responsibility

Institution	Responsibility
Harvard University	The Office of the Dean
MIT	The Office of the Provost, in consultation with the Faculty Committee on the Library System
University of California	The Academic Senate and the University of California will be jointly responsible for implementing the policy.

7. Other

	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. Faculty members who have permanently waived the license may nonetheless
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University of California	<p>deposit a copy with the University of California or elsewhere for archival purposes.</p> <p>Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication. This policy neither requires nor prohibits the payment of fees or publication costs by authors.</p>
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Harvard University - Faculty of Arts and Sciences - <https://osc.hul.harvard.edu/hfaspolicy> - Feb 2008

The Faculty of Arts and Sciences of Harvard University is 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: Each Faculty member grants to the President and Fellows of Harvard College permission to make available his or her scholarly articles and to exercise the copyright in those articles. In legal terms, the permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, 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 for a profit. The policy will apply to all scholarly articles written 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. The Dean or the Dean's designate will waive application of the policy for a particular article upon written request by a Faculty member explaining the need.

To assist the University in distributing the articles, each Faculty member will provide an electronic copy of the final version of the article at no charge to the appropriate representative of the Provost's Office in an appropriate format (such as PDF) specified by the Provost's Office. The Provost's Office may make the article available to the public in an open-access repository. The Office of the Dean will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty from time to time. The policy will be reviewed after three years and a report presented to the Faculty.

MIT Faculty Open Access Policy - <http://libraries.mit.edu/scholarly/mit-open-access/open-access-at-mit/mit-open-access-policy/> - March 2009

The Faculty of the Massachusetts Institute of Technology is 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: Each Faculty member grants to the Massachusetts Institute of Technology 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 MIT a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same. The policy will apply to all scholarly articles written 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. The Provost or Provost's designate will waive application of the policy for a particular article upon written notification by the author, who informs MIT of the reason.

To assist the Institute in distributing the scholarly articles, as of the date of publication, 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.

The Provost's Office will make the scholarly article available to the public in an open-access repository. The Office of the Provost, in consultation with the Faculty Committee on the Library System, will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty. The policy is to take effect immediately; it will be reviewed after five years by the Faculty Policy Committee, with a report presented to the Faculty.

The faculty calls upon the Faculty Committee on the Library System to develop and monitor a plan for a service or mechanism that would render compliance with the policy as convenient for the faculty as possible.

Open Access Policy for the Academic Senate of the University of California - http://osc.universityofcalifornia.edu/openaccesspolicy/OpenAccess_adopted_072413.pdf

Preamble

The Faculty of the University of California is committed to disseminating its research and scholarship as widely as possible. In particular, as part of a public university system, the Faculty is dedicated to making its scholarship available to the people of California and the world. Furthermore, the Faculty recognizes the benefits that accrue to themselves as individual scholars and to the scholarly enterprise from such wide dissemination, including greater recognition, more thorough review, consideration and critique, and a general increase in scientific, scholarly and critical knowledge. Faculty further recognize that by this policy, and with the assistance of the University, they can more easily and collectively reserve rights that might otherwise be signed away, often unnecessarily, in agreements with publishers. In keeping with these considerations, and for the primary purpose of making our scholarly articles widely and freely accessible, the Faculty adopts the following policy:

Grant of License and Limitations

Each Faculty member grants to 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, for the purpose of making their articles widely and freely available in an open access repository. Any other systematic uses of the licensed articles by the University of California must be approved by the Academic Senate. This policy does not transfer copyright ownership, which remains with Faculty authors under existing University of California policy.

Scope and Waiver (Opt-Out)

The policy applies to all scholarly articles authored or co-authored while the person is a member of the Faculty except for any articles published 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. Upon express direction by a Faculty member, the University of California will waive the license for a particular article or delay access to the article for a specified period of time.

Deposit of Articles

To assist the University in disseminating and archiving the articles, Faculty commit to helping the University obtain copies of the articles. Specifically, each Faculty member who does not permanently waive the license above will provide an electronic copy of his or her final version of

the article to the University of California by the date of its publication, for inclusion 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. Faculty members who have permanently waived the license may nonetheless deposit a copy with the University of California or elsewhere for archival purposes.

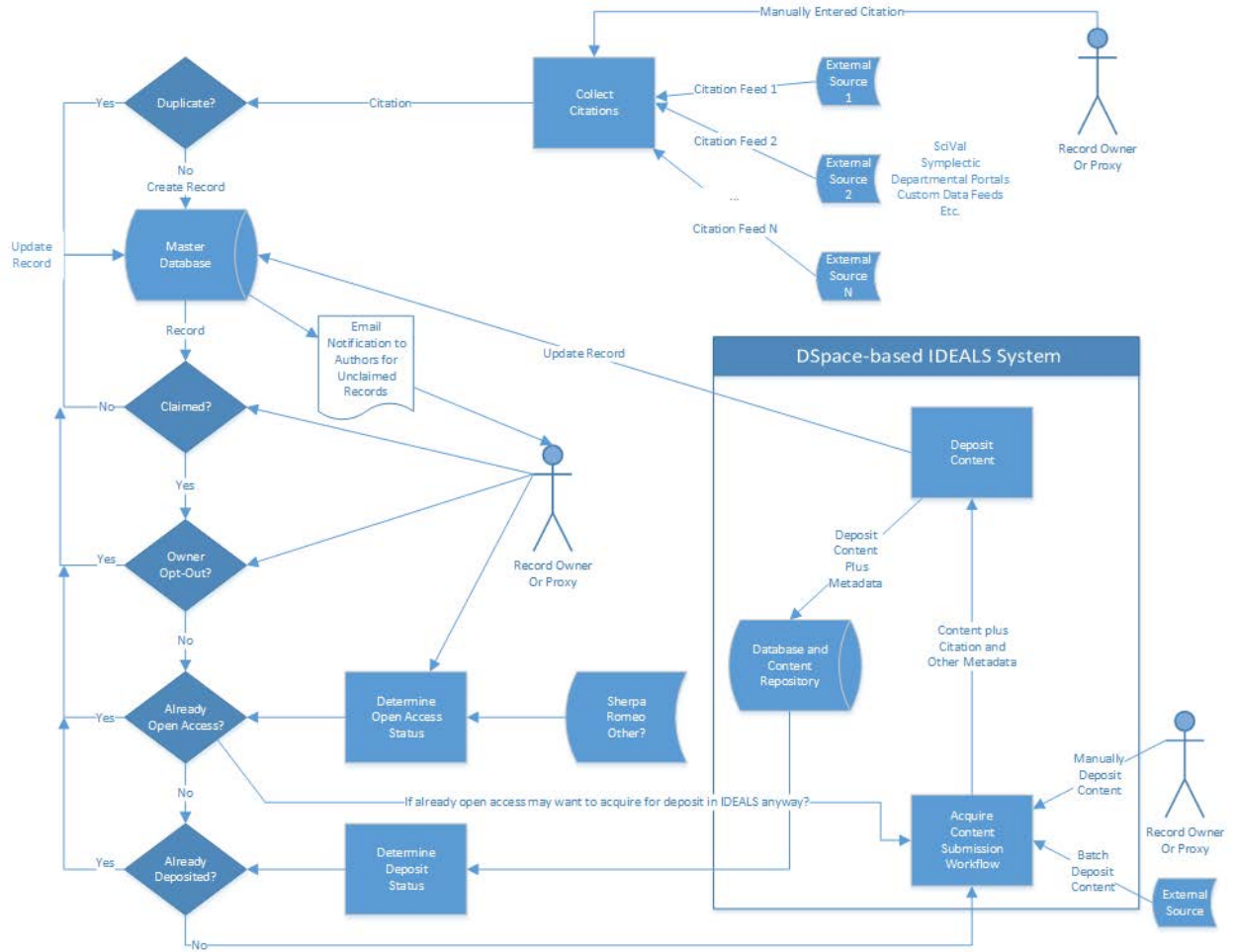
Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication. This policy neither requires nor prohibits the payment of fees or publication costs by authors.

Oversight of Policy

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

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

Appendix C Possible Workflow for OA Policy Implementation



Open Access to Research Articles Act Implementation - Potential Scenarios UIC

Note: This report is based on the "Final Report: Open Access to Research Articles Act Implementation Scenarios Task Force Produced" produced by the University of Illinois at Urbana-Champaign. Because of the thoroughness of their report, this report focuses on potential scenarios and costs for UIC, and does not provide the level of detail outlined in the UIUC report.

Assumptions

The assumptions as outlined by the UIUC Open Access to Research Articles Act Implementation Scenarios Task Force are similar or identical to the assumptions that would be made by UIC. Many of those assumptions seen in the UIUC report are listed below as they are critical in determining costs.

These assumptions are:

- The OA policy will focus on journal articles or a type of output as defined by a department (for example, computer science may choose to include conference papers in addition to journal articles).
- The version that can be made openly available will be the final author's manuscript post peer-review (sometimes called a postprint) or the published version as possible.
- The policy will be a permissions based policy in which the faculty grants the University rights to make available the work in an OA repository. This license makes it unnecessary for the faculty to negotiate with publishers. See the discussion here on this policy: <https://blogs.law.harvard.edu/pamphlet/2012/09/17/is-the-harvard-open-access-policy-legally-sound/>
- The policy will apply to faculty in the tenure system, but others (research faculty, adjunct faculty, post-doctoral fellows) will be encouraged to provide open access.
- A waiver that will allow faculty to opt out of the policy on a work by work basis will be included.
- The Library in collaboration with other appropriate units (such as ACCC and the OVCR) will manage the implementation and infrastructure for the OA policy, and will work closely with the office responsible for administering the policy itself.
- If a faculty member publishes in an open access venue or makes their publication openly available via another OA repository (arXiv or PubMed Central, for example), this will be sufficient to meet policy.
- **INDIGO** (<http://indigo.uic.edu/>) will serve as the open access repository.
- The policy will apply to all articles going forward and will not be retroactive, although INDIGO would continue to accept older material.
- The implementation of an OA policy, while reliant on the actions of faculty members, should be as automated as possible.
- The University of Illinois Libraries will pool resources when possible to support the implementation of the Open Access to Research Articles.

Webforms to request waivers (opt-out) and customizations to dspace provide some opportunities to share costs.

Scenarios

With all of these scenarios, costs are estimates.

Scenario 1: Continue on similar path currently being used to populate the IR.

Currently, monthly searches are conducted in Scopus and Web of Science for UIC authored publications. Sherpa Romeo (a database containing information on the archiving policies of publishers) is consulted to determine if the publisher allows a version of the publication to be archived. If it is possible to archive the publication in an institutional repository, an email is sent to the faculty requesting a copy of the final peer-reviewed manuscript to post or for permission to post the publisher PDF (when allowed) in the repository. This method of obtaining publications could continue.

- This process will not capture articles not indexed in Web of Science or Scopus and thus faculty not receiving a request about the article would need to upload these missing publications into INDIGO on their own or submit the content for upload in another manner (email).
- Faculty would receive an email requesting permission to upload the article in the repository regardless of whether the article would be compliant with OA policy because of availability in another OA repository (PubMed Central, arXiv) or whether a waiver was requested. (Searching Scopus or Web of Science would not provide enough details to know if an article would become compliant through another IR.)
- Faculty would need to indicate on their annual reports how their publications met the OA policy (deposited in IR, deposited in another OA repository, waiver requested).
- A web form would need to be developed that would allow faculty to opt out of the policy on a case by case basis. The form would automatically generate a letter granting permission to the faculty member to opt out.
- This process would be labor intensive for the library (more articles would be supplied to the library as a result of the policy and thus more staff would be needed than presently used to provided mediated uploading into the repository). This method does not utilize available systems that would make publication metadata available to facilitate uploading publications (either by faculty or their designate) and monitor compliance.

Ongoing Costs		Costs
Scholarly Communications Librarian time	Approximately 10% of Scholarly Communications Librarians time would be needed to run monthly searches, provide consultation services for faculty, and oversee student activity uploading items into the repository	\$8,000

Email faculty re: publications	Approximately 4500+ UIC publications a year produced by UIC. Approximately 4 minutes an article required to consult with Sherpa Romeo and send an email to faculty by student at \$9.50/hour.	\$3,000
Uploading in Repository	It is difficult to estimate the number of articles that would qualify to comply with the policy as a result of appearing in another repository and thus would not need to be uploaded into the IR. Appearing in another IR does not exclude participation in INDIGO if desired. It is also difficulty to estimate the number of articles where faculty would request a waiver. Cost estimate is based on about a 60% compliance rate (based on MITs compliance rate) and requiring approximately 10 minutes to upload an item in the repository by a student.	\$5,000 - \$6000
VM to host INDIGO	Annual cost for Virtual Machine hosting INIDGO with 450 GB to handle increased publications	\$3600
Total		\$20,600
One time Costs		
Develop webform to handle waivers	Work with UIUC to develop web form that would allow faculty to opt out of the policy on a case by case basis. UIUC estimates 40 hours for graduate hourly to create a website and web form for the opt-out process. \$800	\$400 (if partner with UIUC)
Total		\$400

Scenario 2: Minimal support or infrastructure for an OA policy.

In this scenario, the expectation is that faculty will deposit works into INDIGO on their own accord with no intervention by the campus outside of what already exists in the Library (consultation on publication agreements and directions on how to deposit into INDIGO).

- Faculty would need to indicate on their annual reports how their publications met the OA policy (deposited in IR, deposited in another OA repository, waiver requested).
- The library would no longer upload faculty publications into INDIGO
- There would be no tracking of faculty publications.
- Would likely result in low participation rates due to the lack of a tracking mechanism or tools to facilitate uploading into the repository
-

Ongoing Costs		Costs
Scholarly Communications Librarian time	Approximately 20% of Scholarly Communications Librarian's time would be needed to manage the implementation, provide training on uploading content, and provide consultation services to the faculty. A website would also need to be created	\$16,000

	about the OA policy, how to comply with the policy, how to deposit into INDIGO, and how compliance is reported.	
VM to host INDIGO	Annual cost for Virtual Machine hosting INDIGO with 450 GB to handle increased publications	\$3600
Total On-going		\$19,600
One time Costs		
Develop webform to handle waivers	Work with UIUC to develop web form that would allow faculty to opt out of the policy on a case by case basis. UIUC estimates 40 hours for graduate hourly to create a website and web form for the opt-out process. \$800	\$400 (if partner with UIUC)
INDIGO Modifications	Programmer support to make the minimal metadata and interface changes necessary to INDIGO to indicate whether the deposit was in accordance with the policy. Ideally, we would implement the customization developed by UIUC for IDEALS and apply this change to INDIGO. We could assist UIUC with the development and then would need to implement the change in INDIGO.	\$3500 (if partner with UIUC) to \$6500
Total One time		\$4,500 to \$7,000

Scenario 3: Full support for an OA policy.

This scenario would include negotiations with publishers, training and documentation, marketing, and developing a technical infrastructure that, while reliant on the actions of faculty members, would be as automated as possible, and a means for departments and others to check compliance with the policy. This scenario is likely to increase compliance.

- Faculty Profile Tools: This Scenario assumes that the campus will purchase and implement a faculty profile system (or Current Research Information System – CRIS) that will also export and reuse metadata describing faculty works. It also assumes that the campus has licensed a subscription to ORCID. **The cost for purchasing and implementing these systems are NOT included below.** (The Office of the Vice Chancellor for Research, ACCC, and the University Library are currently investigating faculty profile systems but no decisions have been made at this point).
 - A campus faculty profile system (such as Symplectic Elements or Elsevier’s PURE) aggregate faculty publication metadata into one system allowing for the development of a faculty profile that lists all the publications authored by a faculty member. Publication data is automatically imported into the system from a range of abstracting and indexing (A&I) databases (Web of Science, Scopus, PubMed, ArXiv, and book catalogs) based on a profile set up for each individual faculty. Faculty (or their designates) can also populate

the profile systems manually with any publications not captured by the A&I databases. In addition to creating profiles of faculty activity, these systems can be used to produce individual, departmental, college, or campus metrics reports of faculty publications and activities.

- If a campus faculty profiling system is implemented and the system is either Symplectic Elements or Elsevier PURE, some of the infrastructure will be in place to help support an open access policy. This infrastructure is critical to assisting with compliance.
 - *Upload to the IR:* These profile tools provide an infrastructure where by the publication metadata imported into the system for a particular faculty can be used to submit the full-text of publications (either PDF or final manuscript) to the Institutional Repository (IR). This will facilitate compliance because the metadata for the publication will already be provided – only the full-text will need to be uploaded to submit the content to the IR.
 - *Sherpa/Romeo Database of Publisher Self-Archiving Policies:* The Sherpa/Romeo database has an open API which can be used to query publisher policies for self-archiving in a repository. The profile tools querying Sherpa Romeo as to whether a publisher allows the final PDF version of an article to be deposited or if the final manuscript can be deposited. This information will help facilitate compliance by providing ready information on what version of an article can be submitted to the IR.
- **Compliance reporting:** To a degree, systems like Elements and PURE can obtain information on whether an article has been made publicly accessible in another IR (PMC, ArXiv). However, the degree to which these functions can be used or customized for reporting compliance for the Open Access to Research Articles Act is unknown. Also unknown is the degree to which these tools can be used to harvest PDFs when the publishers allow it, harvest the free full-text from other sources, or link to the free full-text in another IR. Therefore, it may be necessary to develop an infrastructure that will allow the generation of automatic waivers, report on compliance, harvest full-text when possible, and link to the free full-text in resources outside of INDIGO (i.e. other IRs – PMC, ArXiv). The functionality expected of such a system and the costs are outlined in UIUC ‘s report - specifically UIUC’s Scenario 2, Technical infrastructure. We defer to the UIUC report on the technical aspects and costs of developing the technical infrastructure to facilitate compliance and allow for compliance reporting. We would recommend partnering with UIUC to develop the infrastructure.

Ongoing Costs		Costs
Scholarly Communications Librarian time	Approximately 50% of Scholarly Communications Librarian’s time would be needed to manage the implementation, provide training on uploading content, and provide consultation services to the faculty. A website	\$41,500 for first year implementation (at 50%)

	would also need to be created about the OA policy, how to comply with the policy, how to deposit into INDIGO, and how compliance is reported.	\$29,100 ongoing cost following first year of implementation (at 35%)
Student time to manage submissions	Student's time of approximately 15 hours per week will be needed to manage submissions received from the faculty profile tool into INDIGO. Items may need metadata corrections and/or mapping to specific departments.	\$8000
VM to host INDIGO	Annual cost for Virtual Machine hosting INIDGO with 450 GB to handle increased publications	\$3600
Total Ongoing costs	<p>\$53, 100 first year for personnel costs and VM.</p> <p>Ongoing costs would be reduced in subsequent years in terms of personnel.</p> <p>Ongoing costs would be expected after the first year to maintain the technical infrastructure. (\$21,000 ongoing if in collaboration with UIUC)</p>	<p>\$53,100 first year</p> <p>\$61,700 annually after 1st year - (VM, personnel, and maintenance of technical infrastructure)</p>
One time Costs		
Communication (marketing, documentation, training)	<p>The training and documentation costs would largely be taken care of by the personnel list above (scholarly communication librarian and students). A marketing and training program would be developed to: communicate the policy to the campus, provide training to the liaison librarians and other library staff to help support the OA policy, and training in the colleges to either educate faculty or faculty designates on the policy and how to submit publications.</p> <p>Marketing materials will need to be developed and distributed (both print and online). Approximately \$6,000 to develop and print these materials.</p>	\$6000 first year (\$1500 ongoing after first year)
Negotiation and clarification of publisher cooperation with policy	<p>Many publishers allow authors the right to upload publications (typically the postprint) into the IR. However, some publishers require the faculty members to opt out of an OA policy if one exists. To minimize these obstacles, the Library will work with publishers to seek clarification on ambiguous archiving policies, and seek permission where possible to allow the author to post their publications to the IR (if a journal currently prohibits it), and to seek options to secure the faculty publications from the publisher for deposit in the IR. The library would also maintain a list of publishers that allow the author to deposit the final published version of an article into the IR and the publishers that require the author to opt out of the policy.</p> <p>This would be facilitated by the collections coordinator. More attention will need to be paid to this task during the first year (20% of FTE) but further negotiations may be</p>	\$18,000 first year \$4,000 (ongoing cost after first year)

	needed in subsequent years.	
Technical Infrastructure	<p>Technical infrastructure to create automatic waivers, facilitate compliance by harvesting full-text, allow compliance reporting. Again, this assumes the campus has a faculty profile system.</p> <p>See UIUC's Final Report - Open Access to Research Articles Act Implementation Scenarios Task Force Scenario 2, section 3 on Technical Infrastructure. UIC defers to UIUC on the costs and needs of developing the infrastructure. There is an assumption that UIC and UIUC would share in the costs to develop the infrastructure (although this assumes they are using similar faculty profile tools). (The infrastructure would be tweaked so UIC content goes into INDIGO.)</p>	<p>\$119,957 (if UIC develops this alone) \$48,000 to \$60,000 if UIC shares in costs to develop the infrastructure.</p> <p>\$48,000 to \$119,957</p>
Total One Time Costs		\$72,000 to 143,000 one time costs.

Appendix 5: Literature Reviewed for the differences between academic and publishing practices in different fields and the manner in which these differences should be reflected in an open access policy

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Minority Report

Submitted in response to the

Report of the University of Illinois Open Access to Research Articles Act Task Force

November 3, 2014

Submitted by non-voting members of the Task Force

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As members of the University of Illinois Open Access to Research Articles Act Task Force (OARATF), we appreciate having been part of the OARATF Report (Report) development process and being able to provide our perspectives and feedback during the task force deliberations. Throughout, proceedings were conducted with the highest level of professionalism and collegiality, which we would expect from any such endeavor with regard to the practice of scholarship and scholarly communication. While many of the issues or concerns we raised were addressed in the final Report, there are still a number that were not adequately and/or consistently addressed and we wish to raise those issues and concerns formally for consideration by the recipients of the full report. We believe that this is consistent with the intentions of the Open Access to Research Articles Act and the goals of the legislature to have full consideration of the issues involved in policies that impact scholarly communication.

We strongly support the report's attention to protecting the principles of academic freedom and faculty members' ability to publish in the venues of their choosing without interference. In our opinion, such rhetoric suggests an opt-in policy. However, 1) the recommendations laid out in the report (Section 15.b.iii.1., Recommendation 3: "That, when possible, University of Illinois faculty grant to the University of Illinois a nonexclusive license to make their articles available in the institutional repository"), and 2) the central theme of the draft policy ("Each Faculty member, for the purpose of making his or her scholarly articles widely and freely available in an open access repository, grants to the University of Illinois 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.") focus on the University of Illinois faculty granting the University a license by default, thus establishing an opt-out policy. Opt-out policies that mandate assignment of a non-exclusive license to exercise any and all rights of copyright to an author's institution, especially when that license authorizes others to do the same, are not consistent the principles of academic freedom and the faculty member's right to choose a publication venue. Further, the license mandate necessitates inclusion of a license waiver option for faculty members in order for them to publish with the full range of potential publishers and journal options. Needing to obtain a waiver adds an administrative burden to faculty authors and is a hurdle to faculty members wishing to publish with their journal of choice if a waiver is necessary. And beyond serving as a barrier, the waiver requirement is even likely to serve as a deterrent against publishing in certain journals. Academic freedom and faculty member choice about publication venue are best preserved through an opt-in policy that minimizes administrative burden to the faculty and that does not introduce *any* constraints around their right to publish in the journal(s) of their choice. An opt-in OA policy can effectively meet the needs of the faculty of the University of Illinois and its commitment to disseminating its research and scholarship as widely as possible, without infringing on academic freedom or author choice.

We also strongly support the concept of flexibility in methods of obtaining open access, including, in particular, Gold OA, where funding for access is specifically provided to ensure long-term free access and the viability of high-quality publishing. However, the report is somewhat inconsistent on this point. In Section 15.b.iii.8, Recommendation 1 reads, "...there should be flexibility in allowing researchers to select not only their publication venue, but also their preferred method of open access." However, throughout much of the rest of the report and the draft policy there is a very strong bias toward Green OA—and only one type of Green OA at

that, author self-archiving through an institutional repository (IR)—without giving equal consideration to other viable open access options for University faculty. Notably, in Section 15.b.iii.7 of the Report, the third paragraph mentions that there are “well known advantages for fee based Gold open access,” but then goes on only to enumerate all of the disadvantages/problems in great detail. In terms of promoting access, Gold OA has the distinct advantage of rendering an article fully open access immediately upon its publication, worldwide and permanently, with access directly to the article version of record. It also has the advantage of ensuring the sustainability of high-quality publishing by having the costs of publishing, dissemination, and preservation built-in up front. Thus, Recommendation 1 in that section “that the University of Illinois not adopt a university-wide policy on institutional support for APCs [Gold OA],” appears inconsistent with the goals of establishing an OA policy. While the University may not wish to establish a source of institutional financial support for APC payment, it could state its support of Gold OA as a viable OA option for faculty without bias. The institutional preference to post in the IR over other OA options also has the potential to infringe on academic freedom. With the goal of disseminating University of Illinois research and scholarship as widely as possible, it seems essential to promote the full range of open access options available to faculty authors for their articles, e.g., Gold OA through APCs, access through CHORUS, delayed open archive, as well as Green OA access through agency or disciplinary repositories or an institutional repository.

The report is not as strong as we would have expected on opportunities for collaboration. We had understood that one of the roles we played as publisher representative members on the OARAATF was to help ensure recognition of the valuable role that publishers play in the scholarly communication ecosystem. This includes identifying opportunities to work with publishers to develop and implement open access publication options that leverage a range of OA publishing options and existing infrastructure, tools, and services to reduce duplication of effort and costs. To the issue of collaboration benefits, in Section 15.b.iii.5., Recommendation 1 reads, “That the University of Illinois librarians should work with colleagues in the public academic institutions in Illinois to explore the opportunities, challenges, costs and consequences of a single shared institutional repository.” And the draft policy reads (in the Deposit of Articles section), “If applicable, a Faculty member may instead notify the University of Illinois that the article will be made openly available in another repository or in an open-access publication, or made available via a link to public access versions of those articles on publisher websites.” We had shared information about CHORUS, an initiative launched this year to deliver public access to research articles reporting on US funded research, which is likely to represent a large proportion of articles published by the faculty across the University. Since CHORUS leverages publishers’ existing infrastructure and supports federal agency search portals, we had recommended that the report reflect the collaboration opportunity with CHORUS, which would not result in any new costs to the campuses, unlike an expansion of the institutional repository.

We also saw our role on the Task Force to include ensuring that a new policy doesn’t undermine the important partnership between University of Illinois faculty member authors and their publishers. There are two recommendations that concern us in that regard. Section 15.b.iii.8, Recommendation 2 states, “That in recognition of the variability for the need for and length of open access embargo periods across academic disciplines, stipulations regarding embargo periods should remain under the control of the faculty member.” And Section 15.b.iii.9,

Recommendation 3 indicates, “That embargo periods for University of Illinois research should be as short as possible. (see also Recommendation 2 in 15.b.iii.8).” In order to ensure the viability of outlets for publication that are suitable for University of Illinois faculty members, it is critical that embargo periods be set appropriately for the journals and disciplines in which those faculty publish. Embargo periods are necessary to maintain the subscription model upon which Green OA relies. Green OA has no business model and is thus dependent on subscriptions to be successful. One way publishers support Green OA is through setting of journal-specific embargo periods. These strike a balance between providing access to a version of the article while allowing time for the subscription revenue supporting Green OA to be recovered. It is therefore vital that any successful, sustainable Green OA policy at the University of Illinois (such as the one proposed in the Report) align very closely with publishers, and it is essential for the University to encourage its faculty members to abide by publisher-set embargo periods through policy and practice.

With regard to process, we are concerned that not all voices on the University of Illinois’ campuses were heard from. While the OARAATF membership was large and included a number of faculty member representatives, the task force didn’t reach out broadly to the three campuses’ faculty, e.g., by way of surveys or focus groups, to capture the widest range of perspectives possible about open access during the formative stages of the Report and institutional OA policy development. These types of activities were pursued by many of the other Illinois public universities, all with faculties smaller than the University of Illinois’.

Finally, while we understand that the development of an open access policy was not a requirement of the Open Access to Research Articles Act and that, at the University of Illinois, the University Senate Conference (USC), rather than the OARAATF, worked on its own policy, it is disappointing that the report of the OARAATF has not been used to inform the development of the policy or effect changes in the USC’s deliberations. The spirit of the Open Access to Research Articles Act legislation (SB 1900) was that the development of institutional OA policies should be done through a thoughtful, evaluative process informed by the findings of the OARAATF efforts and its Report. SB 1900 specifically indicates, “shall...design a proposed policy regarding open access to research articles, based on criteria that are *specific to each public university’s needs*.” We were thus surprised that USC endorsed the University of California Open Access Policy as an acceptable basis for the University of Illinois’ own policy at the onset of the Report development process and that the draft policy remained fairly unchanged since the initial version. The University of Illinois’ policy development does not appear to have been significantly informed by the OARAATF Report findings and recommendations. We see this as an unfortunate missed opportunity and hope that the full Report and this Minority Report will be forwarded by the USC to the senates for each campus, along with the draft policy, for review and consideration.

Again, we want to express our appreciation for the opportunity to serve on the University of Illinois OARATF and for consideration of our perspectives. We are committed to continuing to help the University of Illinois in its development of an institutional OA policy and remain available for discussion and participation on University OA committees in the future.