

To: Allegheny Faculty
From: Academic Support Committee
Date: February 18, 2013
RE: Proposed Open Access Policy, 1st reading

Rationale

Academic authors, whose work may be funded by their institutions, public grants or private fellowships, typically submit that work to specialized journals for publication. If accepted, the articles are published in print or online, and the journal owns the copyright to the work. As a result, access to the published articles usually requires subscriptions fees, either from individuals or institutional libraries. Thus, colleges and universities may end up paying twice—once to support the author and later to the publisher—for the same work; and authors may not have free access to their own published work for distribution to students or colleagues because they have not retained the copyright.

The Open Access movement in publishing is a response to these concerns, and is intended to provide unrestricted global access to peer-reviewed scholarly articles. The nature of this access may include self-archiving or institutional archiving by authors that have retained copyright to their work or, alternatively, unrestricted access on a publisher's website.

The growth of OA has been aided by the adoption of Open Access policies, both by funding agencies and academic institutions. In 2008, the National Institutes of Health adopted a policy (<http://publicaccess.nih.gov/policy.htm>) that "*all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central 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.*" The NIH policy does not dictate in which journals their grantees must publish, simply that an electronic version must be made freely and openly available within one year.

The Academic Support Committee has reviewed Open Access policies from other universities and colleges. Typically these policies provide that all faculty-published articles be placed in an institutional repository and, whenever possible, made openly available via the Internet. **The main goal of the proposed policy presented here is to provide institutional backing for authors to maintain their own copyright privileges.** The surveyed and proposed policies establish the default situation to be the faculty member as copyright holder (consistent with the Faculty Handbook Section 11.25.II.A); the faculty member would then grant the College a non-exclusive copyright to allow open dissemination of the work. However, whenever a faculty member cannot allow such dissemination, a waiver is granted and the article is deposited but sequestered to be viewable only to the author.

Additional Resources

Directory of Open Access Journals (<http://www.doaj.org/>)

The Library's Open Access website (<http://library.allegheny.edu/openaccess>) has the following additional documents:

- Oberlin and MIT Open Access policies (other institutions with similar policies include Harvard University, Lafayette College, Rollins College, and Bucknell University)

- “Increased Access, Increased Impact” slide set (prepared by Linda Bills), briefly outlining the different flavors of open access
- Allegheny Open Access FAQ
- Example addendum to a publishing contract

Proposal

The Academic Support Committee requests the addition of the following text to the Faculty Handbook as new “Section 11.25.II.G Open Access Policy”:

The faculty of Allegheny College is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the faculty adopts the open access policy described below.

Each faculty member grants to Allegheny College 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 Allegheny College 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 automatically waive application of the policy for a particular article upon express direction by the author, who informs Allegheny of the reason.

To assist the College in distributing the scholarly articles, no later than the date of publication, each faculty member will provide 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 an appropriate format (such as PDF). “Scholarly article” is understood to be an article published in a peer-reviewed journal. Articles will be provided to the College even if application of the open access policy is waived; such articles will be placed in a closed archive by the College—preserved but not disseminated.

The Provost’s designate will make the appropriate scholarly articles available to the public in an open access repository. The Provost’s Office, in consultation with the Academic Support Committee will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the faculty.

This policy will be reviewed by the Academic Support Committee three years after its adoption, and a report will be presented to the faculty. The Academic Support Committee and Library staff will develop a plan to render compliance with the policy as convenient for the faculty as possible.

The last sentence of section 11.25.II.F will be modified by the addition of the language in bold:

"When publishing scholarly works, faculty creators are encouraged to provide rights for use for the College community **in accordance with the Open Access Policy (section 11.25.II.G).**"