



Response to
Provost Jerry Baldasty and Faculty Senate Chair Norm Beauchamp
Regarding the April 23, 2015 Class C

**RESOLUTION CONCERNING THE
UW OPEN ACCESS REPOSITORY AND
REQUEST FOR ADVICE ON
AN OPEN ACCESS POLICY**

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Open Access Initiative Report

Executive Summary

The Faculty Senate's April 23, 2015 Class C "Resolution Concerning the UW Open Access Repository & Request for Advice on an Open Access Policy," requested that the Provost direct the Vice Provost for Digital Initiatives and Dean of University Libraries to:

- Develop an open access publication policy for recommendation to the University.
- Conduct a needs and integration assessment to determine what resources are necessary to enhance the University's institutional repository, ResearchWorks Archive, to the level of a world-class repository.

This report provides:

- Background on the response to the Faculty Senate resolution
- Open access publication policy background and considerations
- ResearchWorks Archive improvements to date and assessment of faculty needs
- University resources needed to provide support for faculty participation in an open access policy and implementation of a world-class institutional repository

Key Recommendations

- It is recommended that the University of Washington adopt a "Harvard-style" open access publication policy under which faculty grant limited rights to the University of Washington in order to make their research articles openly available via the Libraries' ResearchWorks Archive. Such an approach would maximize faculty rights to determine where they publish while expanding access and exposure at low cost. The specific policy recommended can be found in Appendix I of this report.
- Faculty participation and support will be a critical factor in the policy's success. To minimize the impact on faculty authors' time, consideration should be given to automating the process of depositing research articles as much as possible. The best and most promising tool for this is the citation harvesting tool, Symplectic Elements, now in use at the University of California and elsewhere to support open access policies. In order to provide the support needed for faculty authors and enhance ResearchWorks Archive to the level of a world-class open access repository, additional resources for cloud-hosting, software, and staffing will be required. The estimated resources required to support faculty participation in an open access policy include:

Symplectic Elements

- One-time costs of \$17,000 for set up
- Ongoing costs of \$85,000/year for the software and \$44,000/year for cloud hosting

Full-time Librarian to assist with outreach, managing exemptions, and other support for faculty

- Ongoing costs of \$93,225/year (\$75,000 + \$18,225 benefits)

Background

Faculty, students, administrators, and librarians at the [University of Washington have a long interest in open access publishing](#). During 2014-2015 there was renewed interest among faculty and students in open access, with both the GPSS and ASUW passing resolutions supporting it. The Faculty Council on Research initiated a broad discussion on the benefits of open access publishing and worked with others to request support for an open access policy in the Faculty Senate. On April 23, 2015 the Faculty Senate unanimously passed a Class C [“Resolution Concerning the UW Open Access Repository & Request for Advice on an Open Access Policy.”](#)

The resolution asked the Provost to request the Vice Provost for Digital Initiatives and Dean of University Libraries to develop an open access publication policy for recommendation to the University and conduct a needs and integration assessment to determine what resources are necessary to enhance ResearchWorks Archive to the level of a world-class repository. It also asked the Vice Provost to consult with two related committees whose charges involve intellectual property – the Intellectual Property Management Advisory Committee and the Special Committee on Intellectual Property and Commercialization. Provost Baldasty was receptive and Vice Provost Wilson began working with stakeholders to recommend an open access policy and conduct a needs assessment for the institutional repository.

Vice Provost Wilson charged two Libraries groups to work on the initiative. The Open Access Policy Steering Group, chaired by her, took primary responsibility for developing the policy and communicating with faculty and stakeholder groups. The Digital Repository Working Group, chaired by Jennifer Ward, Director, Information Technology Services & Digital Strategies, was charged to both develop and improve the current repository, ResearchWorks Archive, and conduct a needs assessment to determine what resources would be necessary to enhance it to the level of a “world-class” repository.

The Faculty Resolution also asked that the Vice Provost consider the expertise of University of Washington faculty and staff in the development of an open access policy and enhanced repository. Faculty and staff with whom we consulted provided invaluable advice and guidance during the course of our work. The groups included:

Open Access Initiative Advisory Group. To ensure that a broad range of stakeholders were consulted during the process, the Vice Provost established an Advisory Group of senior faculty and leaders with whom the Steering Group could regularly consult. The membership included representatives from the College of the Environment, Engineering, Business, Law, Medicine, Arts & Sciences, CoMotion, Office of Research, UW-IT, as well the Chairs of the Faculty Council on Research and Faculty Council on University Libraries. They were asked to:

- Provide advice and guidance on the development of a robust and sustainable University of Washington open access policy that is both sensitive to faculty needs and consistent with existing University policies and state and federal legislation.

- Provide advice and guidance as the Libraries plans for a world-class institutional repository that supports the dissemination and stewardship of digital scholarship and resources created by the University of Washington community.
- Provide advice and guidance on how best to communicate with the University community regarding the issues and benefits of open access.

Faculty Council on Research. Representatives from the Libraries briefed the FCR in December to update them on progress and request feedback on a draft open access policy. Mike Rosenfeld, FCR Chair, also serves on the *Open Access Initiative Advisory Group*.

Faculty Council on University Libraries. Representatives from the Libraries provided monthly updates on progress and solicited feedback on open access policy drafts and issues. Dianne Lattemann, FCUL Chair, also serves on the *Open Access Initiative Advisory Group*.

Research Advisory Board. The Vice Provost for Digital Initiatives and University Libraries was invited to brief the group on the open access initiative at their January 8, 2016 meeting.

University of Washington Attorney General's Office. In December 2015 representatives from the Open Access Policy Steering Group briefed Assistant Attorney General Clark Shores on the initiative and progress so far.

Open Access Publication Policy Background and Considerations

As noted, the principal request expressed in the April 23, 2015 Faculty Senate resolution was that "...the Provost direct the Vice Provost of Digital Initiatives, Dean of the University Libraries to work with faculty leadership to develop an open access publication policy for recommendation to the University." It also set an expectation that there be close consultation with faculty leadership on development of a draft policy, but left the type of policy to be determined.

Over the past academic year, as the Steering Group worked to develop and then refine a proposed policy and other action items related to development of the ResearchWorks Archive in response to faculty feedback, the members paid careful attention to the "framing" language within the resolution. As has been the case at other institutions that have adopted publication policies within the last several years, the Senate resolution specified that a recommended policy focus on research articles typically appearing in journals. The Steering Group also paid attention to key policy goals expressed in the presentation Professors Ben Marwick and Mike Rosenfeld gave to the Faculty Senate before the resolution was approved. In their presentation they asserted that a policy focused on "the free, immediate, online availability of peer-reviewed research articles with re-use rights" would both "contribute to the public good by removing paywalls to knowledge" and "improve the visibility of UW scholarship."

To help ensure a University policy would meet these goals and be in line with quickly-evolving best practices, the Steering Group undertook a systematic review of the current open access policy landscape within higher education – starting with Peter Suber's 2012 book, *Open Access*. Suber proposes the following definition: "Open Access (OA) literature is digital, online, free of charge, and

free of most copyright and licensing restrictions.” The Steering Group also frequently consulted the respected and continuously-updated “[Good practices for university open-access policies](#)” web site maintained by the Harvard Office for Scholarly Communication, the Scholarly Publishing and Academic Resources Coalition’s [Campus open-access policy ‘Choice Points](#),” and a [forthcoming College & Research Libraries article](#) by Christine Fruin and Shan Sutton that explored faculty concerns about open access policies and how best to address them.

Careful attention was also given to policies adopted in recent years at leading U.S. research institutions. For example, since most commentators credit the policy adopted in 2008 by Harvard’s Faculty of Arts & Sciences as the first and most influential, Harvard’s subsequent [Model Open-Access Policy](#) was studied with special care. Accordingly, the Steering Group found Eric Priest’s 2012 “[Copyright and the Harvard Open Access Mandate](#)” to be a helpful analysis of legal considerations for policies based on Harvard’s approach.

Open access policies adopted by other large, state-supported universities with histories of substantial federal research grant support were reviewed. The most useful of these were the two adopted by the University of California system (the [2013 policy passed by the Academic Senate](#) for tenure-track faculty and the [October 2015 Presidential Policy](#) covering non-Academic Senate faculty and others), the University of Minnesota’s January 2015 policy on [Open Access to Scholarly Articles](#), the policy incorporated into the University of North Carolina – Chapel Hill’s [March 2015 Task Force Report](#), and policies enacted in December 2015 at the [University of Massachusetts-Amherst](#) and in April 2016 at the [University of Arizona](#).

While there is significant variation among these policies, they share certain core ideas that the Steering Group believes should be reflected in an open access publication policy at the University of Washington. Perhaps most importantly, the policies reviewed focus mainly or exclusively on faculty work, and are primarily repository-based (or “green”) rather than journal-based (or “gold”). The virtues of repository-based policies are many, but the most compelling are their cost-effectiveness (wide and effective access to large numbers of articles can be provided at modest cost with no direct charges to authors), and the fact that they fully support academic freedom because they do not dictate where faculty members should publish.

Policies of this kind are often described as “rights retention” policies because they support faculty interests in retaining rights to their work without requiring significant effort on their part – and the Steering Group believes a UW policy should follow that pattern. As Suber (2012, p. 80) explains, at Harvard faculty members have voted to give the university a standing nonexclusive right (among other nonexclusive rights) to make their future work OA through the institutional repository. Once they had done that, the university already had the needed permission and faculty didn’t need to take any special steps or negotiate with publishers.

While it appears that policies setting a clear expectation for deposit are more effective than those making participation completely optional, the Steering Group also believes such an expectation can be put forward and managed with a “light touch,” and that easy and straightforward means for faculty to exempt particular articles can be provided. It is suggested that the University adopt the

common practice of making waivers (i.e. exemptions from the policy for specific articles) and embargoes (the ability to delay making an article available open access) freely available to faculty on request, without any need to provide justification.

To summarize, the Steering Group recommends adoption of a repository-based, rights-retention policy aimed at faculty research articles, with provision for waivers and reasonable embargo periods on request.

ResearchWorks Archive Improvements and Assessment of Faculty Needs

For the last decade, the Libraries' institutional repository (ResearchWorks Archive - <https://digital.lib.washington.edu/researchworks/>) has served as an online archive for University of Washington digital content needing a secure, accessible, and permanent home, regardless of access levels and/or intended audience. The content currently contained in ResearchWorks Archive is an eclectic mix of documents generated by faculty, students, and administrators. The Libraries has responded to the April 2015 resolution to enhance ResearchWorks Archive and assess faculty needs in a number of important and strategic ways, which are detailed in Appendix III.

Key initiatives included:

- Creating a Repository Management Librarian position as part of an internal reorganization within Information Technology Services & Digital Strategies. This position is responsible for the general development and management of the institutional and data repositories.
- Completing two upgrades of the ResearchWorks Archive software, which included improvements in the overall look and feel of the interface as well as underlying system functionality.
- Conducting a survey of faculty at the University of Washington, including the Bothell and Tacoma campuses, to learn more about how faculty share, store, and manage their research output. The survey results provided valuable information about faculty needs and concerns in this area. In reviewing the open-ended comments it became clear that there is not a shared understanding of open access issues or the role open access can play in transforming scholarly publishing. In addition to developing and implementing a robust communication strategy to increase awareness of open access issues, the repository must be both easy to use and well-staffed to ensure that the policy is a success.

University resources needed to provide support for faculty participation in an open access policy and implement a world-class institutional repository

Technology Implementation

Members of the Steering Group consulted with colleagues at the University of California, which recently adopted an open access policy. One important factor to their success has been the simultaneous implementation of Symplectic Elements, a research integration management system (RIMS) that helped automate the process. Broadly speaking, a RIMS collects and stores metadata about faculty research and scholarly publications, with the intention of repurposing the information in a variety of ways. For example, faculty publication information might be used to populate profiles or support open access by managing deposit requirements

Symplectic Elements is a tool that was built for the express purpose of making it easier to identify and deposit materials into an institutional repository. The core functionality of Elements is the continuous, automated capture of research output data from multiple internal and external sources, using simple workflows to facilitate deposit of articles by faculty authors and librarians alike. Integrations with other institutional systems, such as VIVO (a faculty research profiling tool being evaluated by the University's Office of Research), can further reduce the need to re-enter information, saving valuable researcher time and improving engagement with the process.

While there are other vendors providing similar software, Symplectic is the most mature and seems to have the most robust and stable feature-set. Unlike most of the other vendors, Symplectic's clients are our peers, which is critical in understanding the faculty needs and preferences at a research institution like the University of Washington.

Staff & Services

Another component of successful open access policy initiatives is a suite of services to enhance and support faculty participation. After the responsibility shifts mentioned above, the Libraries currently has 1.25 FTE supporting current ResearchWorks Archive service activities, an increase of approximately .75 FTE. We envision staffing open access policy initiative support with a librarian who, in conjunction with other Libraries staff, will assist with outreach, education, communication, managing exemptions from Open Access deposit, and other support of faculty.

Recommendations

Based on our environmental scan, discussions with UW faculty members, and assessment of faculty experience with ResearchWorks Archive and preferences for scholarly sharing and preferred features in an institutional repository, the Steering Group makes the following recommendations regarding an Open Access Publication Policy and enhanced institutional repository for the University of Washington:

- **Harvard-Style Open Access Policy.** The type of policy most likely to support the key objectives put forth during the April 23d, 2015 presentation to the Faculty Senate is one based on the Harvard model in which faculty grant the University limited rights to their research articles so that they may be systematically made available via the Libraries' ResearchWorks Archive. Such an approach would maximize faculty rights to determine

where they publish while expanding access and exposure at low cost. The specific policy recommended can be found in Appendix I of this report.

- **Supplemental Policy Documentation.** While policy statements themselves are usually relatively short and simple, they are typically supplemented with additional supporting documentation that provides important implementation and other details that are expected to change over time. The Steering Group has prepared a draft FAQ document (Appendix II) and suggests that the draft policy be read along with it, and our recommendations concerning enhancement of UW's ResearchWorks Archive. (Appendix III)
- **Resources to Support Faculty Participation in an Open Access Policy.** Faculty members have many demands on their time, and it will be much easier for support and participation to grow and take hold if everything possible is done to minimize the impact of an open access policy on them. The Steering Group believes a key factor in achieving this would be to automate the process as much as possible, and the best and most promising tool for this is the citation harvesting tool Symplectic Elements now in use at the University of California and elsewhere to support open access policies. Estimated costs include one-time costs of \$17,000 and annual costs of \$129,000 for cloud hosting fees and software.

It will be important to provide active, substantial, and ongoing support for faculty authors. We estimate annual costs of \$93,225 for a full-time librarian to provide these and other support services.

Further Considerations

- **Scope of the Policy and a Phased Approach.** Like most other university-based open access policies reviewed, the recommended policy covers only UW faculty and their scholarly articles. While the Steering Group supports working toward a broader and more inclusive OA policy, the organizational, cultural, and administrative issues are complex enough that a phased implementation is recommended.
- **Authorizing and Establishing the Open Access Policy.** Over the past year, there have been many discussions within the Open Access Policy Steering Group and with various stakeholders about the best course for authorizing and establishing the policy. The Faculty Senate could choose to consider a recommended policy as Class A, B, or C legislation – for each of which particular procedures and voting guidelines apply. Some have suggested that changes to Executive Order 36 or another Executive Order would be needed to make it official University policy. Others have suggested some combination of the two approaches. The Steering Group suggests that the newly formed Advisory Committee on Intellectual Property Policy and Practice be charged with assessing the issues and developing the appropriate path to implementation.
- **Open Access and Funding Requirements.** It is also important to recognize the pervasive role at UW of federal agency and foundation funding requirements for making funded research publically available. UW authors who already make their research articles open access via disciplinary repositories like [PubMed Central](#) to meet funders' requirements should simply be able to continue doing that, and not be asked to deposit them again in ResearchWorks

Archive. The same would apply to articles deposited in other disciplinary repositories, such as [arXiv](#), where the intent is to make them available but not to meet funding requirements.

- ***Increasing Open Access Awareness.*** In discussions with various faculty and faculty groups the Steering Group has seen that knowledge about and familiarity with open access publishing and related issues can vary widely. For an open access policy to be successfully enabled and implemented, it will be essential to have broad faculty understanding and support. The Steering Group recommends considering some steps to help increase faculty awareness of open access issues. For example, the University might bring prominent speakers on open access topics to campus to engage the faculty and begin a larger discussion of the benefits of open access.
- ***Additional Potential Benefits of a Subscription to Symplectic Elements.*** While Symplectic Elements is discussed in the report in the context of automating and supporting a faculty open access policy, the tool has other potential University applications for supporting the goals and principles of the *Transforming Administration Program* initiative. For example, the Steering Group has been in contact with Office of Research staff during its investigation and they are also interested in Elements as a tool to use in combination with VIVO to harvest and organize information for faculty profiles and support University researchers and initiatives.

Appendix I

Recommended University of Washington Open Access Policy

Purpose

As a public university, the University of Washington is dedicated to making its research and scholarship freely and widely available to the people of Washington and the broader research community. In addition to the public benefit, the following policy is intended to serve faculty interests by: promoting the visibility and accessibility of their work, resulting in greater impact and recognition; helping them retain distribution rights; and aiding preservation of the scholarly record.

Policy and Grant of Rights

Faculty grant to the University a non-exclusive, irrevocable, worldwide license to exercise, and to allow others to exercise, any and all rights under copyright relating to his or her scholarly articles, in any medium, for the purpose of making their articles freely and widely available in an open access repository. This policy does not transfer copyright ownership to the University.

Scope and Waiver

This policy applies to all scholarly articles authored or co-authored while a person is a member of the Faculty except for articles completed before the adoption of this policy.

The Provost or Provost's designate will waive this requirement or delay access for a specified period of time for a particular article upon express direction by the Faculty member. Grant of such a waiver or delay is mandatory, not at the discretion of any person or group.

Deposit of Articles

To assist the University in archiving and disseminating scholarly articles, the Faculty commit to helping the University obtain copies of their articles. Specifically, each Faculty member who does not obtain a waiver to deposit in the ResearchWorks Archive repository will provide an electronic copy of the final accepted (post-peer review) manuscripts of his or her articles to the University for inclusion in the ResearchWorks Archive or notify the University that the article will be available elsewhere on an open access basis.

Implementation and Oversight of Policy

The Provost or Provost's designate will be responsible for implementing and interpreting this policy and recommending changes to the Faculty from time to time. In implementing this policy the Provost or Provost's designate will strive to maximize Faculty participation by providing appropriate technology and other support to facilitate article deposit.

Appendix II

Open Access Policy FAQ

About The Recommended UW Open Access Policy

The following document is meant to show how an open access policy like the one being recommended might be interpreted and implemented. If and when the policy is enacted, a similar document would be made available and kept updated.

What are the main things UW authors should know about the policy?

- If the policy were adopted, faculty would automatically grant the University of Washington a non-exclusive license to their scholarly articles in order to make their work freely available via the University's ResearchWorks institutional repository.
- Faculty would not transfer their copyright to the University.
- "Scholarly articles" would be defined flexibly to further allow for faculty control and disciplinary differences.
- The policy would not restrict where authors can or should publish, nor require them to pay open access fees.
- Authors would normally deposit their "Accepted Author Manuscript" or "Author's Final Version" - the final, accepted, post-peer review version of the article prior to final publisher formatting.
- Faculty who normally make their research articles open access via disciplinary repositories like arXiv and PubMed Central could simply continue to do that, and would not be asked to also deposit them in ResearchWorks.
- Faculty requests to waive or delay application of the policy to a particular article would be automatically granted.
- The policy would only affect articles created on or after the policy goes into effect.

What are the purposes of the recommended policy?

Benefits to Authors. Open access works are more easily found and accessible via tools like Google Scholar than those made available solely via traditional methods. This results in greater visibility, as well as a well-documented "open access citation advantage." In addition, under the policy authors retain rights to use their work in teaching or future scholarly work that might otherwise be exclusively and unnecessarily assigned to publishers.

Fulfills the Mission of the University and the Faculty. The goals of the recommended open access policy support the stated goals of the University. For example the Role and Mission of the University states that “The primary mission of the University of Washington is the preservation, advancement, and dissemination of knowledge” – all of which would be enhanced by the policy. By encouraging faculty to make their research readily available to the public and the research community, the policy would also support the Faculty Code’s public service expectations.

Benefits to the University. The open access policy will promote the value of UW research and scholarship to funding agencies and the taxpayers of the state of Washington. In addition the policy will serve to highlight the University’s role as a national and global resource for positive change through education and research.

Public Benefits. The policy would make the results of UW research available to individuals who do not have access to academic journals that may be prohibitively expensive. This wider access would be expected to accelerate discovery of new ideas, allow a global audience to engage with the scholarship of the University and allow instructors to make use of materials for teaching at no cost. Wider availability of research articles democratizes information and spurs further innovation and progress.

Serves as a Catalyst for Change in Scholarly Publishing. Under the current unsustainable publishing model journal prices have increased at 5 times the rate of the Consumer Price Index within the past 15 years, while major journal publishers limit journal cancellations by “bundling” desirable and undesirable titles together – thus strictly limiting cancellations. At the same time, authors are often required to transfer copyrights to publishers and accept restrictions on common practices like making their work available on the web or using it in classes. The rate of transition from a toll-based to open access publishing model is unpredictable, but an open access policy supported by the faculty would not only allow UW authors to retain extremely broad use and reuse rights with a minimum of effort, it would also strengthen the University’s position negotiating with publishers both for authors’ rights and future subscription licensing terms. (More information on trends is available on the Libraries scholarly publishing webpage.)

What is open access?

Open access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions. (Peter Suber, 2012)

Do other universities have open access policies?

Yes, dozens of public and private universities in the U.S. and other countries have open access policies, including the University of California, the University of Minnesota, Duke, MIT, all of Harvard’s 9 schools – and within the last few months the University of Arizona and the University of Massachusetts – Amherst. For a list of additional universities and funding agencies with open access policies, see <http://roarmap.eprints.org/>.

To whom would the policy apply?

The policy would apply to members of the UW Faculty as defined in section 21-31 of the Faculty Code. It would not apply to other UW academic or research staff or to students, although all members of the UW community are welcome and encouraged to deposit their scholarly and research articles.

The policy refers to Scholarly Articles. What does that mean?

In this context, “scholarly articles” refers to the kinds of articles through which authors share research results to advance research and human knowledge without expectation of payment. Faculty would not be asked to freely distribute works for which they would normally receive royalties or other payment.

Peer-reviewed journal articles and conference papers would normally be considered to fall within this category, but for purposes of the policy the definition would be left to faculty discretion to allow for disciplinary differences.

What works would fall outside the “scholarly articles” definition?

Examples of works that would not fall under the policy include, but are not limited to, materials faculty prepare for the courses they teach, books (including edited volumes), commissioned articles or reports, case studies written for compensation, fiction, poetry, musical compositions, computer code, or popular writings.

How would it work, and what would I have to do to comply with the policy?

UW faculty members who do not normally share their scholarly articles via arXiv, PubMed Central or another open access repository would either self-deposit their articles into the ResearchWorks Archive or make them available to Libraries' staff for mediated deposit.

The Libraries is proposing to provide additional tools and services to further streamline and support authors in the article submission process. One tool features a “citation harvester” that would alert authors when citations to newly-published articles have been found, provide information about publisher policies and waiver or delayed access options, and streamline self-deposit of articles by the author. Implementation of these services is pending, based on future approval and funding.

What would qualify as an Open Access Repository?

There are now many services and sites through which researchers may share their work, but not all can or should be considered open access repositories. Those that clearly qualify include such well-known repositories as arXiv and PubMed Central, as well as the hundreds of others listed in The

Directory of Open Access Repositories ([OpenDOAR](#)). These sites share several [key features](#), such as the full support of the re-use of materials, commitments to long-term preservation, and nonprofit business models. In contrast, popular social networking sites like Academia.edu and ResearchGate are primarily commercial in nature, lack commitments to long-term preservation, full open search, sharing and re-use – and would not meet the requirements of the policy.

Copyright and Publisher Issues

How would the policy relate to current University policies on publishing and copyright?

Under the policy, authors would retain full copyright ownership as specified under existing University policies ([Executive Order 36](#)). However, the policy would give the University a limited, nonexclusive license to preserve and provide access to faculty scholarly articles produced here.

Would the University be taking away my rights to my scholarly articles?

No. The grant of rights to the University under this policy would be a nonexclusive license. The author would remain the copyright owner of the work. The University would have a limited license to save copies for posterity, and make them available to the world.

Would the policy limit where I can publish?

No. All existing options and venues for publication would be compatible with this policy. The license granted to the University under this policy would provide additional options for authors to make copies openly available if they so choose.

Would I need to pay for open access?

No. There is no requirement to publish in open access journals or pay to make articles open access in mixed or “hybrid” journals. The purpose of the policy is to provide a free open access option using the University’s ResearchWorks repository.

How would publishers be made aware of the UW policy?

Following the University of California system and other institutions, the University of Washington would inform publishers of the policy. Information about the policy for publishers would be publicly posted and kept up to date.

What are waivers and delayed access?

A waiver allows an author to opt out of granting permission to make a specific article available, while a delay in access (sometimes referred to as an embargo) simply allows a period of time such as 6 months or a year to pass before an article is made available. Under the proposed policy, waivers and access delays are to be granted on request, with no justification required.

Would I need to get permission from my co-authors to comply with the policy?

No. According to U.S. copyright law each joint author can give nonexclusive permission to copy and distribute the work. However, best practices would suggest that authors inform their co-authors of the policy.

Would I be able to make my work openly accessible if it included a third party's copyrighted images?

If an author signs an agreement to get access to the image or use the image in within an article, s/he would need to review the agreement to see if it precludes further distribution from the University's repository. If that use is not allowed, an author can request permission from the copyright owner or get a waiver for that article.

Once the work is openly available what uses would be allowed?

Articles could be copied and distributed by the University and by others as long as it is not for profit. [NOTE: It may be an option to faculty to allow other additional uses of their work on a case-by-case basis.]

What happens when a publisher's policy conflicts with the policy?

Many publishers require exclusive rights to an author's work as part of the publication agreement; this policy would preempt those default terms. If the publisher does not require a waiver of the policy authors are within their rights to take advantage of the policy and make their work open access.

ResearchWorks and Deposit of Articles

What is the ResearchWorks Archive?

The ResearchWorks Archive is the UW's institutional repository. It provides a permanent, safe service for providing access to articles, technical reports, datasets, images and other file types produced at the University of Washington by faculty and researchers. The Archive enables University of Washington researchers and academic units to make their scholarly materials accessible to the world, at a stable URL, with the assurance that the materials will be maintained into the future.

Which version would I deposit?

Authors would normally deposit what may be called either the "Accepted Author Manuscript" or "Author's Final Version": the final, accepted, post-peer review draft. However, some publishers allow authors to deposit the published (typically PDF) version – including final copy-edits and formatting – so you might prefer to deposit that version instead. A good source of journal and publisher policy information is the [SHERPA/RoMEO web site](#).

Who can I contact if I have questions?

[To be determined]

Appendix III

Institutional Repository Improvements, Assessment, and Resource Requirements

For the last decade the Libraries' institutional repository, ResearchWorks Archive (<https://digital.lib.washington.edu/researchworks/>) has served as an online archive for University of Washington digital content needing a secure, accessible, and permanent home, regardless of access levels and/or intended audience. The content currently contained in ResearchWorks Archive is an eclectic mix of documents generated by faculty, students, and administrators. The Libraries has responded to the April 23, 2015 resolution to enhance ResearchWorks Archive in a number of important and strategic ways.

Creation of the Digital Repository Working Group (DRWG)

In June 2015 the DRWG was created to oversee the Libraries' repository development, tackling both technical and policy issues. The group's core membership is comprised of staff with expertise in different areas: preservation, metadata, policy, open access, systems, and user experience and members consult widely across campus in their work. Its initial focus has been on improving the institutional repository in light of the current Open Access initiative, but the group is working with the goal in mind that improvements made to ResearchWorks Archive and investment of staff time should also be transferable to other projects, including the Libraries' nascent data repository. The group was also instrumental in creating and analyzing results from the faculty repository survey (described below), with recent efforts focused on system evaluation and policy development.

Shift responsibility for repository management

A Repository Management Librarian position was created in October, 2015, as part of a reorganization within Information Technology Services & Digital Strategies. This position is responsible for the general development and management of the institutional and data repositories and requires a solid technical understanding of system and workflow design, researcher needs, and policy development. Achievements so far include: completing two recent upgrades of the ResearchWorks Archive platform (DSpace); initiating a heuristic analysis of user interface and functionality; identifying gaps between system design and implementation; and, offering suggestions for how to improve the system for all users. As part of the platform upgrades, the look and feel of the interface was improved, as was underlying system functionality. Future plans includes usability testing and additional interface/system improvements to address user needs.

Assess faculty needs

In December 2015 the Libraries distributed a brief survey to 3,487 faculty at the University of Washington, including faculty at the Bothell and Tacoma campuses. 427 completed surveys were

received, a response rate of 12.2%. Faculty were asked questions that covered the following broad topical areas:

- How and where they preferred to share their scholarly output
- Their experience with the ResearchWorks Archive service
- The most important features in an institutional repository
- Their preference for how scholarly materials should get into the repository.

The survey results were very useful in helping us better understand faculty needs and concerns associated with sharing their research output. Within the faculty survey, 104 respondents (approximately 24% of those who took the survey) provided feedback via an open-ended comment box. Generally speaking, one set of comments reflected varying degrees of understanding of different open access models as well as the purpose and state of repository development at UW. Another set of comments revolved around issues of faculty workload and keeping the resulting policy/system as easy to use as possible. One comment stated “Please don't create more busy-work for faculty by instituting extra requirements!” and additional comments implored us to make sure that the new system is adequately staffed to help with submission and support. In reviewing the open-ended comments it became clear that there is not a shared understanding of open access issues or the role open access can play in transforming scholarly publishing. In addition to developing and implementing a robust communication strategy to increase awareness of open access issues, the repository must be both easy to use and well-staffed to ensure that the policy is a success.

University support required to implement a world-class institutional repository and provide support for faculty participation in an Open Access policy

Technology Implementation

As has been noted elsewhere in this document, we have spoken with colleagues at peer institutions who have recently adopted an open access policy. One factor critical to their success has been the implementation of a research integration management system (RIMS). Broadly speaking, a RIMS collects and stores metadata about faculty research and scholarly publications, with the intention of repurposing the information in a variety of ways. The software automatically captures data about research outputs from verified sources and uses simple workflows to reduce administrative burden. Below is an example of how a RIMS-assisted article deposit process might look at the University:

1. The RIMS harvests citation metadata from a variety of sources (e.g., arXiv.org, PubMed, Scopus, Web of Science)
2. RIMS alerts the faculty author via email that it has found a new publication believed to be published by her or him
3. The faculty member then confirms the publication is theirs and edits metadata as needed
4. The faculty member attaches the article and repository staff approve the deposit of the work to the repository

By automatically harvesting metadata, presenting it via email to the faculty, and providing a quick method to upload the information to the ResearchWorks Archive, the RIMS greatly increases the efficiency of faculty submitting their content to the institutional repository.

Symplectic Elements software is a tool that was built for the express purpose of making it easier to ingest materials into an institutional repository. The core functionality of Elements is the continuous, automated capture of research output data from multiple internal and external sources, using simple workflows to facilitate deposit of articles by faculty authors and librarians alike. Integrations with other institutional systems, such as VIVO (a faculty research profiling tool being evaluated by the University's Office of Research), can further reduce the need to re-enter information, saving valuable researcher time and improving engagement with the process.

Libraries and Office of Research staff have attended numerous presentations by the Symplectic team and have been impressed by the system functionality. Staff have also had several conversations with University of California librarians about their experience implementing and using the product as part of UC's open access policy. While our UC colleagues said there were apparently some initial glitches, the company was seen as quite responsive to concerns. Most importantly, rollout has been smooth, and introduction of Elements has dramatically improved the rate at which UC faculty have been depositing their work.

We also explored in some depth BePress' Digital Commons software as an alternative platform for our institutional repository, but opted not to pursue it at this time for several reasons. BePress' Digital Commons isn't as mature a system as DSpace, lacks robust tools for any meaningful systems integrations, and requires Libraries staff to seek mediated help from BePress for routine and straightforward self-management of content and collections. BePress' SelectedWorks platform has been a success at UW Tacoma, due in large part to intensive staff mediation. The staffing required to support BePress on all three UW campuses to support an open access policy would not be scalable.

ResearchWorks Archive's current software platform, DSpace, works well in our complex environment. It integrates with other systems, allows other applications to run on top of it, is supportable, and supports University needs. Symplectic is able to integrate DSpace with Elements. Longer term, once the data repository is in production, the Libraries will evaluate the viability of moving the institutional repository content to the data repository platform.

While there are other vendors providing similar software, Symplectic Elements is the most mature and seems to have the most robust and stable feature-set. Unlike most of the other vendors, Symplectic's clients are peer institutions. The company's familiarity with the needs of other top research institutions will be a critical asset as it develops and customizes a system to meet the needs of faculty at an institution like the University of Washington. We recommend implementing the Symplectic Elements software, see detailed cost figures below.

Staff & Services

Another component of successful open access policy initiatives is a suite of services to enhance and support faculty participation. These services include outreach, education and consultation,

managing exemptions and waivers, and other faculty support services. It is envisioned that this service will be staffed by a full-time librarian who, in conjunction with other Libraries staff, will assist and support faculty. We request funding for a new librarian position; see detailed figures below.

Estimated Fiscal Impact

	One-Time Costs	Ongoing Costs	Comments
Symplectic Elements	\$17,000		One-time set up fees. Includes installation and integration with DSpace
		\$85,000/year	License fee
		\$44,000/year	Cloud-hosting
Full-Time Librarian		\$93,225	\$75,000 + \$18,225 benefits
Total Estimated Costs	\$17,000	\$222,225/year	

July 6, 2015

TO: **Open Access Policy Steering Group**
Gordon Aamot, Interim Director, Information Resources and Scholarly Communication
 and OAPSG Vice-Chair
Thom Deardorff, Libraries Copyright Officer
Mel DeSart, Head, Engineering Library, and Acting Head, Branch Libraries
Cynthia Fugate, Senior Associate Dean of University Libraries
Tim Jewell, Scholarly Publishing Librarian
Diana Louden, Biomedical and Translational Science Librarian
Jennifer Ward, Interim Head, Libraries Information Technology Services

FROM: Betsy Wilson, Vice Provost for Digital Initiatives and Dean of University Libraries
 and Chair, OAPSG

RE: Open Access Policy Steering Group

Thank you for agreeing to serve on the Open Access Policy Steering Group and the important work you will be undertaking in support of Open Access, research, and scholarship at the University of Washington.

Charge

Reporting to the Vice Provost of Digital Initiatives and Dean of University Libraries, the Open Access Policy Steering Group (OAPSG) is charged to lead the process of developing an open access policy for recommendation to the University, as charged in the UW Faculty Senate’s April 23, 2015 resolution, *Concerning the UW Open Access Repository & Request for Advice on an Open Access Policy*. The resolution also charged the Libraries to conduct a needs and integration assessment with stakeholders to determine what resources are necessary to enhance the current institutional repository to the level of a “world-class” open access repository.

OAPSG is charged to:

- Provide campus leadership in the development of a robust and sustainable open access policy for recommendation to the University that both meets the University’s primary mission to advance, disseminate, and preserve knowledge and is sensitive to faculty needs and concerns.
- Consult broadly with faculty, administrative groups, and other key campus stakeholders, including the Open Access Advisory Group.

- Work with the University's Intellectual Property Management Committee and the Senate's Special Committee on Intellectual Property on options for developing a policy that is consistent with existing University Policies and state and federal legislation.
- Coordinate its work with the Libraries Digital Repository Working Group as it develops and maintains a digital repository that supports the dissemination and stewardship of digital scholarship and resources created by the UW community or acquired from other sources, regardless of format.
- Develop a communication plan and communicate broadly with the campus community regarding the issues and benefits of open access.

The goal is to have recommendations and groundwork completed by the start of spring quarter, 2016, so that recommendations may be discussed and approved by the end of the 2015-2016 academic year.

Logistics

I will serve as the chair of OAPSG and Gordon as the vice-chair. We will be contacting you about meeting dates and other details.

Thank you again for your service.

cc: Libraries Cabinet

July 6, 2015

To: Digital Repository Working Group

From: Cynthia Fugate
Senior Associate Dean of Libraries

RE: Digital Repository Steering Group

The Digital Repository Working Group (DRWG) is an action-oriented group that provides strategic direction and oversight for digital repository activities across the Libraries. The Libraries' digital repository is an essential component of its overall collection management and preservation activities. DRWG will be chaired by the Head, Information Technology Services and Digital Strategies. The Working Group reports to the Senior Associate Dean of Libraries.

To facilitate communication, all meetings and the group's mailing list are open to any interested staff. Meetings will be scheduled around the availability of core members, listed below.

DRWG is charged to:

- 1) Building on the existing data and institutional repositories, the group will develop and maintain a digital repository that supports the dissemination and stewardship of digital scholarship and resources created by the UW community or acquired from other sources, regardless of format. As part of its work, DRWG will collaborate with the Head of Media Services, Libraries Copyright Officer, Scholarly Publishing Librarian, Head, Web Services/Web and User Experience Librarian, University Archivist, and other key stakeholders to insure that the work meets the Libraries' programmatic needs in those areas.

While current repository efforts focus on scholarly works and datasets, other formats will be ingested as the repository grows. The DRWG should consider this future direction in its work and consult with stakeholders as appropriate.

- 2) Provide strategic direction and oversight of repository operations in key areas, including ingest, description, discovery, access, services, and preservation of content.

- 3) Review, revised, and develop policies, best practices, standards and guidelines for local repository operations.

- 4) Identify and establish internal and external partnerships that will contribute to the development of the repository.

5) Communicate policies, progress, and accomplishments to Libraries staff.

Core membership:

- Jennifer Ward, Chair, Director, Information Technology Services and Digital Strategies
- Gordon Aamot, Director, Content and Collections Strategy
- Liz Bedford, Data Services Project Librarian
- Moriah Caruso, Digital Preservation Librarian
- Theo Gerantakos, Metadata and Cataloging Librarian
- Ann Lally, Digital Collections Curator
- David Tolmie, Repository Management Librarian
- Jenny Muilenburg, Acting Data Services Coordinator

Expectations and Responsibilities for Core members:

- Attend Digital Repository Working Group meetings, rotate note taking responsibilities.
- Bring their knowledge and expertise to bear on the growth of the repository as a whole.
- Raise issues or opportunities that require investigation or consideration.
- Communicate information distributed to the memberships and/or discussed at the meeting to their constituent groups.
- Participate in the shared learning environment and contribute to the ongoing education of the group.
- Actively engage all staff in the evolution and maintenance of the digital repository.

November 10, 2015

TO: **Open Access Initiative Advisory Group**
Jody Deming, Professor, Oceanography and Professor, Astrobiology, College of the Environment
Santosh Devasia, Professor, Mechanical Engineering and Associate Dean for Research and Faculty Affairs, College of Engineering
Rick Glover, Senior Contracts Specialist, Office of Sponsored Programs, Office of Research
Dianne Lattemann, Research Professor, Psychiatry and Behavioral Sciences, School of Medicine and Chair, Faculty Council on Libraries
Tom Lee, Professor, Management and Organization and Associate Dean for Academic and Faculty Affairs, Foster School of Business
Ben Marwick, Assistant Professor, Anthropology, College of Arts and Sciences
Kate O'Neill, Professor, School of Law and Past Chair, Faculty Senate
Phil Reed, Professor, Chemistry, College of Arts and Sciences and Associate Vice Provost, UW-IT
Michael Rosenfeld, Professor, Environmental and Occupational Health Sciences; School of Public Health; Professor, Pathology; School of Medicine; and Chair, Faculty Council on Research
Sarah Stroup, Associate Professor, Classics, College of Arts and Sciences
Fiona Wills, Director, Innovation and Development, UW CoMotion

FROM: Betsy Wilson, Vice Provost for Digital Initiatives and Dean of University Libraries

RE: Open Access Initiative Advisory Group

Thank you for agreeing to serve on the Open Access Initiative Advisory Group. I will be convening the group and will endeavor to make good use of your time. Your insights and advice will be invaluable to developing an open access publication policy for the University.

Background

On April 23, 2015 the University of Washington Faculty Senate passed a resolution requesting that the Provost direct me, as Vice Provost for Digital Initiatives and Dean of University Libraries, to develop an open access publication policy for recommendation to the University. Paired with that task was a request to determine what resources would be necessary to develop a new and improved institutional repository that will meet the current and future needs of the University community, and put UW among the top providers of repository services worldwide.

Provost Jerry Baldasty and I have discussed the resolution, and I am pleased and excited to undertake these challenges on behalf of the University. To that end, I have already charged two groups within the Libraries to help push these projects forward: one is charged with undertaking a detailed analysis of state of the art repository functions, features and trends, while the other will advise me directly on policy development considerations.

Charge

In line with the resolution's request that I work closely with UW faculty leaders toward these goals, I would like to formally welcome you to the Open Access Initiative Advisory Group, which will also play a critical role in achieving these objectives. I anticipate that the Group will meet once or twice per quarter during the 2015-2016 academic year.

The Advisory Group will serve as a key body of stakeholders and partners offering special perspectives, experience and insight, and will be asked to:

- Provide advice and guidance on the development of a robust and sustainable University of Washington Open Access policy that is both sensitive to faculty needs and consistent with existing University policies and state and federal legislation.
- Provide advice and guidance as the Libraries plans for a world class institutional repository that supports the dissemination and stewardship of digital scholarship and resources created by the University of Washington community.
- Provide advice and guidance on how best to communicate with the University Community regarding the issues and benefits of open access.

Nan Holmes, Office of the Vice Provost and Dean of University Libraries, will be contacting you to schedule the inaugural advisory meeting. If you have questions please don't hesitate to contact me.

cc: Provost Baldasty
Libraries Open Access Policy Steering Group