

Crediting Faculty for Open, Public Access to Research and Scholarship in APPR

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Open, Public Access as Service

- Open, public access to research and scholarship:
 - supports our mission (at both the campus and system levels)
 - defines us as a land-grant university
 - is vital to equity and diversity efforts
- But, open, public access takes some additional time and effort from authors
- **Solution:** Open, public access should be incentivized by counting as service in APPR (outreach engagement, outreach service)

[Link](#) to full white paper.

Universities with OA Policies

- Florida State
- Georgia Tech
- Harvard
- MIT
- Oregon State
- Penn State
- U of California
- . . . and many others

<https://libraries.mit.edu/scholarly/mit-open-access/oa-policies-at-other-universities/>

Open Access (OA) is a Norm

Funders

with OA Policies

- NIH
- NSF
- Gates Foundation
- Wellcome Trust (UK)
- USDA and most other U.S. federal agencies

Publishers

with Fully OA Journals

- Elsevier
- Springer Nature
- Taylor and Francis
- Wiley (*just acquired Hindawi*)
- Just about every other large publisher and most small publishers

OA: Not Just Pay to Play

- Gold OA is Immediate Open *Publishing*
 - Publish in an OA Journal
 - Publish in a partial OA Journal (hybrid OA) + choose/pay for OA option
- Green OA is Delayed Open *Archiving*
 - Publish in a subscription-only journal
 - Publish in a partial OA Journal (hybrid OA) + do not choose/pay for OA option
 - Send final author accepted manuscript (final, post-peer-review print) to Libraries

Supports UT Strategic Vision

- Mission
 - “Shared commitment to discovery, creativity, and education”
 - “Advance the prosperity, well-being, and vitality of communities across Tennessee and around the world”
 - “Empower learners of all ages and backgrounds to achieve their dreams”
 - “Commit to excellence, equity, and inclusion within the university, across the state, and in all our global activities”

UT Strategic Vision (cont'd)

- Vision: "A world enriched by our ideas, improved through action, and inspired by the Volunteer Spirit of service and leadership."
- Goals:
 - "Opportunities for people at every stage of life, whenever and wherever they seek to learn"
 - "Create a more just, prosperous, and sustainable future through world-class research, scholarship, and creative work"
 - "Culture of collaboration, agility, and innovation throughout the university"
 - "Connect with every Tennessean and with communities around the world, inspiring future Volunteers to join our diverse community"

Aligns with Land-Grant Status

- UT is a public institution providing access to education for all state residents
- Land-grants prioritize research to benefit the public good
- Especially important at the system level

Faculty Can Do This Already

- Two paths to open: OA Publishing, OA Archiving
- All major publishers allow *open archiving* with some restrictions on time (embargoes) and version
- Rights for archiving found in a [Jisc database](#)
- *...but what is the incentive to do it?*

“The crux of the situation is that the vast majority of journal articles can be openly archived without any special permission from the publisher, but only if an author deposits their accepted final manuscript (not the publisher’s version) to the library-run institutional open repository, TRACE.”

[Link](#) to full white paper.

“By taking this crucial step—sending to the library the final, accepted author’s manuscript—UT research and scholarship would become overwhelmingly available to the public; however, this step is rarely taken by UT authors and is unaddressed in APPR evaluation criteria. [...]”

“In order to more fully actualize UT’s mission, serve the state as a land-grant institution, and engage in community outreach,

the committee recommends that colleges and departments incentivize faculty to archive openly or publish openly by adding such criteria to their bylaws regarding appointment to faculty rank and credit such activities in faculty APPR evaluations.”

Why Libraries?

- Libraries are nonprofit memory institutions. Institutional academic libraries aim to:
 - make research and scholarship equitably available now
 - archive the scholarly record for equitable use in the future
- Archiving with us means that the scholarly record is archived by and available from educational, non-profit institutions in perpetuity

Again, Why Libraries?

- Open Access (OA) Policies have been adopted by many universities. Introduced by libraries, faculty governance has a major role in passing these policies.
- Libraries work with faculty to bring attention to inequity in the publication and research system.
Why libraries?
 - Millions of dollars annually in licensing agreements
 - Knowledge of licensing terms, publisher agreements, copyright
 - Professional mission to provide equitable access to information
- We're asking you to consider OA in APPR criteria

Questions & Answers

- 1) Is this about quality of publications or where you publish?
 - No. Open access is a business and distribution model; it has nothing to do with peer review or quality of editors, reviewers, or their processes.
 - This is about leveraging the rights you already have granted to you by publisher of ANY journal.
- 2) Does this hurt those who don't participate?

Faculty participate in service in any number of ways for APPR credit. This is just one additional possibility.

Questions & Answers

- 3) Does this cost the university or departments anything?
 - The Libraries cover OA archiving costs through many resources, already allotted.
 - Such resources help us meet our mission as a memory institution to not only provide access but also preserve the scholarly record.
- 4) Am I being asked to add to TRACE things I published years ago? And, what if I move to another institution?
 - From today, publish where you want; then, upon acceptance, send it to TRACE@utk.edu.
 - Leaving UT? Contribute to your new institutions' open repository, not TRACE. Libraries are on the same team—archiving openly for access now and preservation for the future.

Questions & Answers

- **5) Can we just provide links to the published version?**
 - No. First, published versions are often behind a paywall. The link is in front of the paywall.
 - Second, one aspect of our mission is to archive and preserve. That means we commit to archiving documents in our repository, TRACE, for the future. A link is not a copy of a document.
 - Third, the link is also typically to a publisher's version, which we have no permission to archive. We need deposit of an author's accepted manuscript in order to archive that version.
- **6) What about academic freedom?**
 - We respect your academic freedom.
 - You have the rights we encourage you to exercise in the existing, default agreements with every major publisher.
 - The added time it takes to locate the AAM and send to TRACE@utk.edu is your choice. Less than 30 minutes in most cases.

Questions & Answers

- 7) I don't want to publish in an OA journal. My top journals of choice are subscription-only.
 - Publishing in an OA journal is not the only (nor the preferred way) to earn credit for OA activities.
 - You may publish in any journal and openly archive a version of your work in TRACE.
- 8) Does the public really want to read our work?
 - Yes! Professional programs . . .
 - Number of former undergraduates who read scholarly articles assigned in classes when enrolled . . .
 - Nonprofit organizations, private sector (engineering firms, small businesses), social workers, community colleges, researchers outside the U.S. . . .



Nonprofit Workshops at UT Libraries

- NPO staff (many w/Master's Degrees & up)
- Low staff numbers, small budgets
- Library workshops give them access to evidence-based, peer-reviewed literature for the length of the workshop

Non-UT-affiliated users **must physically come** to the library to access our resources due to licensing restrictions from vendors.

Nonprofits in East TN (1 of 3)

"[We rely] heavily on foundation and government funding to run our programs. The application process is very competitive."

"As a grant writer, I can tell wonderful and compelling stories about our programs and clients. However, to add credibility to our applications, I need to include the academic research that supports our interventions."

Nonprofits in East TN (2 of 3)

“Working in a non-profit setting and competing for limited grant funds, we need to rely on evidence-based practices.”

“It is very challenging to try to remain informed when most of the essential studies and publications are not free use.”

Nonprofits in East TN (3 of 3)

"Please consider open access. I had access to all of your research while I was in school, but now when I could use it to support my work and maybe even change the lives of our clients I have to pay."

Openly Archiving Your Work

- Reduces inequities
- Expands access to/reach of your work
- Helps our community
- Helps other researchers
- Supports our institutional, land-grant mission
- And, it helps your own citation numbers

Next Steps

- Colleges, Departments, Faculty
 - Consider adding OA activities as service in APPR “Criteria for Appointment to Faculty Rank”
 - The [white paper](#) outlines these activities and processes
 - Schedule consultations, workshops with Libraries’ Faculty
- Libraries, Senate
 - UT Libraries will explore technologies to make this process even easier for faculty (e.g., integration with Elements)
 - Senate might begin considering an OA Policy as peer- and aspirational-institutions have enacted
 - Become a member of the L & IT Committee

THANK YOU FOR YOUR TIME

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