This document reflects the modification agreed upon at the January 9, 2017 Senate meeting re: SFU staff ʃↄ

Simon Fraser University Open Access Policy

Preamble

Simon Fraser University's goal to be Canada's most engaged research university invites us to find ways of sharing the research output and creative work of the University with the wider community. The University is therefore committed to making accessible and preserving the products of research with the broadest possible community, including other scholars, practitioners, policy makers, and the public at large.

Scholarly journals remain the primary means of disseminating research results in most academic disciplines, however, most do not allow public access. Depositing these articles in an open access repository would provide such access, while simultaneously showcasing this work to the world, increasing its impact, creating a collective archive of SFU's research output, and making more visible the products of our work.

In keeping with this commitment to increased access, faculty members, students, and post-doctoral fellows, comprising a group referred to here as "university authors*," adopt the following policy:

Policy

As university authors at Simon Fraser University we commit to share the products of our work with the broadest possible audience. To do so, we agree to archive and disseminate the scholarly articles we author by depositing these with the University.

We commit to deposit all scholarly articles authored or co-authored while we are university authors at SFU, although this policy does not cover any articles published before the adoption of this policy, any articles for which the author entered into an incompatible licensing or assignment agreement before the adoption of this policy, or any articles published after we leave the university.

To facilitate the archiving of our work, we grant Simon Fraser University the nonexclusive permission to archive, preserve, reproduce and openly disseminate, in any medium, all scholarly articles authored by us, provided that the articles are properly attributed to the authors, and that it is done for non-commercial purposes.

We agree to freely provide an electronic copy of the final version of each article no later than the date of its publication to the Simon Fraser University Library. The Library will make the article available to the public, taking into consideration requirements for access delay.

While we believe the open dissemination of research is an ethical imperative, we also recognize that university authors maintain full control of their intellectual property, and in some cases may not be able to share their work in an open access repository. Individual university authors may obtain a waiver in these cases.

This policy is aspirational, and intended to encourage open access to scholarly work. While the University expects authors to participate, no University sanctions will result from failure to comply. This policy is to be read and interpreted in a manner consistent with University policies related to academic freedom and intellectual property.

The VP Research, in consultation with the University Librarian, will be responsible for interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to Senate periodically.

The policy will be reviewed after three years and a report presented to Senate.

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* We respectfully acknowledge that many members of SFU staff also author academic papers. These are also welcome for deposit.

Endorsed by SFU Senate 9 January 2017. Effective 1 January 2017.

SIMON FRASER UNIVERSITY   ENGAGING THE WORLD

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Sustainability Challenges in Current Academic Publishing Model

The amount of research content – particularly digital content – available to university researchers in Canada and elsewhere is unprecedented, and growing. A variety of new discovery tools (e.g. Google Scholar) and research technologies (e.g. text and data mining) have flourished, giving rise to connections between disparate disciplines and creating new areas of study. The amount of research available to – and used by – Canadian researchers has never been higher, on account of digital technologies.

Although there has been a great deal of success in regards to increased access, the commercial publishing model that underlies much of the system is not sustainable and is threatening the long-term access to research.

What Can I Do?
- Be aware that the increasing cost of journals is outpacing the increase of library budgets, putting pressure on your library to do more with less.

- Be open to a conversation with your librarian about your scholarly content needs in terms of your research and teaching, in an environment where tough content retention decisions may have to be made.

What Are Libraries Doing?
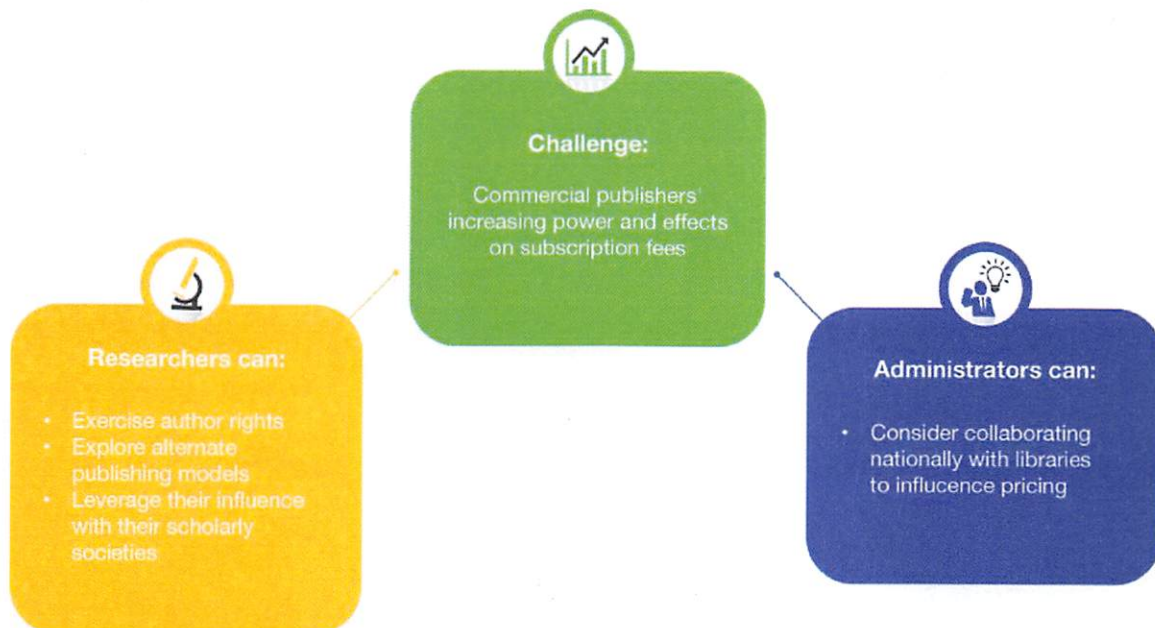- Working through consortia to leverage greater purchasing power.

Tools:
- Introduction
- Evolution of Journal Pricing
- Canadian Economic Environment
- Innovation in Scholarly Communication
- **Sustainability Challenges**
- Understanding Scholarly Metrics
- Glossary of Scholarly Communication Terms
- Selected Bibliography

Learn More:
www.crkn.ca/imtg
imtg@crkn.ca

Challenge: Oligopoly of Commercial Publishers

Challenge:

Commercial publishers' increasing power and effects on subscription fees

Researchers can:

- Exercise author rights
- Explore alternate publishing models
- Leverage their influence with their scholarly societies

Administrators can:

- Consider collaborating nationally with libraries to influence pricing

Consortial negotiation (by CRKN and others) have benefited Canadian universities by democratizing access to research content, decreasing overall costs, and enabling smaller institutions access to resources they might not afford otherwise. These gains have often been won by the adoption of the "big deal" – an all-in price for unlimited access to everything a publisher offers.

The digital age and the advent of the so-called "big deal" has drastically changed the publishing landscape, enabling publishers of scholarly research to make titles available at the push of a button. While this has increased the amount of content available to researchers and students, the big deal has empowered large, profitable, STM publishers (and encouraged consolidation in the marketplace), effectively, crowding out spending on other resources like books. Moreover, while these deals initially offered deep discounts which help foster wide adoption, subscription fees are increasing at rates outpacing limited university budgets. Worse, the nature of these large packages makes it difficult for libraries to reduce their spending, as the per-title prices, when subscribed to outside of a "big deal", are such that a library can usually only obtain a small number of titles for a similar price as the entire package.

The problem is a unique one in the sense that both the source and the market for much of the scholarly content provided by large commercial publishers are research universities – and that while universities are facing ever-increasing subscription costs, academics remain incented to provide their research and editorial services to the publishers with little or no compensation to their granting agency or host institution.

Challenge: Promotion & Tenure Criteria

Challenge:

Promotion & Tenure Criteria

Researchers can:

- Explore alternative (or additional) criteria for establishing P&T within own departments
- Encourage more experienced faculty to take leadership in this regard

Administrators can:

- Elevate deposit of documents into institutional repositories as part of P&T cirteria
- Consider using a more comprehensive set of measures to assess performance

The majority of promotion and tenure decisions in Canada rely in some fashion on prestige and impact factors of publications. Impact factors in particular have been designed and advanced by the commercial publishers, and by their very nature do not favour new publications. This not only solidifies the market position of the largest publishers, but stifles innovation in journal titles, research topics, methods and funding.

Challenge: Awareness of Publishing Alternatives

Challenge:

Lack of Understanding of Publishing Alternatives

Challenge

- Enter into dialogue with your library regarding alternate publishing models
- Encourage and support junior faculty who are developing scholarship in new ways

Administrators can:

- Explore and understand the impact of alternate publishing models

Researchers, administrators and librarians continue to have alternatives to large commercial publishers, although they are not always well understood or easy to access. For instance, faculty may not understand copyright surrounding their work, or negotiate for better author rights when their work is published. Researchers may be reluctant to look for alternative publications if their career prospects are only enhanced by being published in a narrow band of journals. University librarians may inadvertently support commercial publishers in the training and support that they provide to their clients. Similarly, not every institution has a repository of institutional research which is open access and easily discoverable.

While strides have been taken with a number of open access initiatives, it continues to be hampered by a sense that open access content is free: while the researcher or academic accessing the content does not pay under open access, the content still needs to be financially supported. Open access remains an alternative publishing business model, and not a publishing model divorced from business.

Challenge: Democratization of Knowledge

Challenge: Democratization of Knowledge	Scholarly research is a public investment, and preserving access to this research should be a public goal	Access to the latest research is essential for innovation and the advancement of society, is central to the teaching and research roles of academic institutions, and is essential for Canada to remain competitive on the world stage.	Possible action: Explore the possibility of an inquiry by the Council of Canadian Academies

Scholarly research is a public investment, and preserving access to this research should be a public goal. The Tri-Agency Open Access Policy notes that its objective is to "improve access to the results of Agency-funded research, and to increase the dissemination and exchange of research results".

Access to the latest research is essential for innovation and the advancement of society, is central to the teaching and research roles of academic institutions, and is essential for Canada to remain competitive on the world stage.

Challenge: Focused vs. Divergent Approach to Publishing

Publishers take a unified, consistent approach, to control the market

The Academy has no unified response:

- researchers are focused on P&T;
- libraries are focused on access and value
- administration is focused on prestige & value

Call to Action:

Engage all our various constituencies in dialogue and discussion to leverage Canada's collective purchasing power.

The largest commercial publishers are extremely well-funded, and are working on many fronts to increase both the value and the visibility of their platforms and content. Publishers work to acquire additional content (and competitors), develop their hosting platform, review and modify licensing terms and promote their services, both to librarians and administrators, and directly to researchers. On the opposite side, researchers and academics are both enabled and ensnared by the work of commercial publishers – and lack the concerted effort and organized focus to push back in a meaningful way. In many cases, disparate parts of a university campus – individual researchers, university librarians, and the research office – may be dealing with commercial publishers in isolation from each other.

About the Canadian Research Knowledge Network

The Canadian Research Knowledge Network is a national library consortium which licenses electronic content with traditional commercial and alternative publishers to support research and teaching at 75 Canadian universities.

CRKN | **RCDR**
Canadian Research Knowledge Network | Réseau canadien de documentation pour la recherche

Scholarly Publishing Models

A Researcher writes an original research article, which is funded by their institution and/or granting council.
I$ and/or P$

The Researcher then makes a choice:

1
Deposit article in a Green Open Access Repository

and / or

2
Submit article to a Gold Open Access Journal

and / or

3
Submit article to a Subscription Journal

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1 Green OA

Stage 1: Production

Institutional / Subject Repository
These OA repositories are maintained by the institution or scholarly society.
I$ or P$

The version in the IR may or may not be the version of record.

Stage 2: Distribution

Green OA
Research is publicly available in a Repository, possibly after an embargo period.

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2 Gold OA

There are multiple Gold OA models; See Page 2

Commercial OA Journal
APC, IS or P$

Commercial Hybrid OA Journal
APC, IS or P$

Institutional Hosted or Scholarly OA Journal
I$ or P$

Editors and reviewers, who are academic colleagues, assess the article and then accept or reject it for publication. Editors and reviewers are volunteers, and are not paid by the Publisher for their effort or expertise.
I and/or P

Journals are primarily ranked based on Impact Factor.

Researchers are motivated to publish in highly ranked journals to achieve promotion and tenure.

Conventional and OA journals may or may not have impact factors.

Gold OA
Research is publicly available immediately.

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3 Subscription Journal

Subscription journal, where the publisher owns the distribution rights.

Subscription Journal
Subscription Journal Access is restricted to subscribers only.
IS

Legend:
OA = Open Access   **P$** = Public Grant Dollars
I$ = Institution Dollars   **APC** = Article Processing Charge