Between a Rock and a Hard Place: Supporting Faculty in Compliance with Funders’ OA Mandates
Who are we?

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Today we will go over

- Tri-Agency OA policy overview and ways to comply
- What makes compliance challenging for faculty
- What the library is doing to support faculty
- Sneak peek at our assisted deposit workflows
- Service impact and future plans
Tri-Agency Open Access Policy Overview

- Effective **May 1, 2015 onwards**, research published as a result of grants awarded by NSERC or SSHRC; (January 1, 2008 for CIHR)
- Must be OA no later than **12 months after publication**
- Applies to: only peer-reviewed journal publications from any grant program (research projects) and not to training and salary awards

Full policy: [Tri-Agency Open Access Policy](#)
How does a researcher comply?

1. **Publish in an open access journal**
   - Option of selecting a fully OA or hybrid journal
   - Must consider the cost of article processing charges

2. **Deposit your work* into an open access repository within 12 months**
   - ‘No cost’ option
   - U of T’s TSpace Repository complies
   - Grant recipient’s responsibility to determine if publisher allows for self-archiving

*Post-print/accepted manuscript – a paper after peer-review and revisions have been made by the author
FAQs

• **Who is responsible for making publication OA?**
  – Grant recipient (PI)

• **Does the policy apply to co-authored papers or research with multiple funding sources?**
  – Yes. If the Agency provides funding for all or part, research must comply
Challenges: addressing pain points
There is a limited understanding of the author’s role and rights within the publishing process, combined with a new workflow
Researcher writes pre-refereed article, submits to journal

Research accepted, publisher’s agreement signed

Pre-print undergoes peer-review process. Sent back to author

Revisions made by author. Post-print accepted by publisher

Work published by journal. Sits behind paywall

Traditional process
Researcher writes pre-refereed article, reviews journal policy + submits

Research accepted, publisher's agreement is negotiated + signed

Pre-print is undergoes peer-review process. Sent back to author

Revisions made by author. Post-print accepted by publisher + saved by author

Work published by journal. Sits behind paywall or in OA journal

Updated workflow
Publishing behaviour is influenced by journal impact factors. This remains a barrier to researchers considering OA journal options.
“Is this for real? Though I am theoretically in favour of open access...it seems to me that the utopian thinking of the SSHRC [OA Policy] is asking for career suicide”

- Anonymous faculty member
Policy lacks teeth
Consequences of non-compliance

The Tri-Agency has a process for addressing allegations of policy breaches by researchers:

• Investigation of allegations with an individual or institution
• Some of the possible recourse may involve:
  – advising the researcher that the Agency will not accept applications for future funding from him/her for a defined time period or indefinitely;
  – terminating remaining instalments of the grant or award;
  – seeking a refund within a defined time frame of all or part of the funds already paid, etc.
How can the library help?
TSpace, U of T’s research repository https://tspace.library.utoronto.ca
TSpace at a glance

Who can contribute?

• U of T faculty, staff, students with faculty sponsorship, Canadian researchers whose institutions do not have their own IR

Why deposit?

• better online accessibility, discoverability, and citation rates
• priority search engine indexing and ranking
• permanent URLs ensure links to materials always work
• longevity and preservation on a stable university hosted platform
• meets Tri-Agency Open Access Policy requirements

- 67,000+ articles, theses, book chapters, photos, data produced by U of T faculty, students, and staff
- Automated deposit workflows for SGS theses and articles from 20 NRC Research Press journals
- 2,000,000+ downloads per year
OA mandate compliance resources

- UTL Tri-Agency OA Policy web page
- Tri-Agency OA Policy compliance one pager (for print out/distribution)
- Single point of contact (ticket collector) open.access@library.utoronto.ca
- Publisher permission checking video guide
- Customized policy analysis breakdown for top journals by department

<table>
<thead>
<tr>
<th>Journal Title</th>
<th>Is the journal peer reviewed? (policy only applies to peer-reviewed publications)</th>
<th>Which paper version can I put in a repository?* (post-print or published version acceptable for compliance)</th>
<th>Is there an embargo period? (0-12 months acceptable for compliance)</th>
<th>Is it an OA journal?</th>
<th>Does the journal offer a paid OA option?</th>
<th>Will I comply with Tri-Agency OA policy if I publish here?**</th>
<th>ISSN</th>
<th>Current Publishing House(s)***</th>
<th>Publisher policy URL / SHERPA policy URL</th>
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Info sessions and training

• Since spring 2015 UTL librarians have been invited to speak about OA policy compliance at over 20 departments, librarian meetings, and OVPRI

• In our sessions we usually go over:
  – Tri-Agency OA policy requirements and ways to comply
  – Copyright considerations when signing publishing agreement
  – Identifying the version of the article permitted for self-archiving
  – Checking journal policies and selecting a journal that would allow compliance using SHERPA/RoMEO database (demo)
  – Depositing materials to TSpace (demo)

• Success...?
From self-deposit to assisted deposit

Assisted deposit for Tri-Agency Open Access Policy compliance - extended until April 2017

TSpace staff is offering a pilot assisted deposit service to help U of T affiliated CIHR, SSHRC, and NSERC grant recipients with meeting the requirements of the Tri-Agency Open Access Policy for Publications. This policy applies to all grants awarded by NSERC or SSHRC from May 1, 2015 and onward; and by CIHR from January 1, 2008 and onward.

To use assisted deposit service, please email us with:

1. Your CV and accepted manuscript versions* of your grant-funded publications and
2. Signed Mediated Deposit Agreement

*Publisher policies are more likely to permit the deposit of an accepted manuscript rather than the final version. See our Published Paper Versions guide or contact us to help identify the version you need.

The TSpace team will verify publisher permissions, process and deposit materials to TSpace, and provide you with a permanent link to your publications. Processing times are subject to our workload and wait times associated with contacting publishers for permissions.

If you have questions about the pilot or Open Access Policy compliance - contact us.

https://tspace.library.utoronto.ca/help/firsttimeusers.jsp
Benefits and challenges

Benefits of assisted deposit service:

● Attractive to faculty
● Performed by a trained assistant which ensures compliance with publishers' requirements as well as efficiency and better documentation
● Consistent and quality metadata facilitates better description and discovery
● Efficient communication with faculty and publishers through the use of template emails/requests
● Encourages faculty to send their manuscripts to TSpace upon each publication

Challenges of assisted deposit service:

● Scalability across the large institution
● Service expectation and dependency
● Staffing and training
● Consistent service across 3 campuses
● Expectation that anything sent our way will be made open access and compliant
● Post-print availability bottleneck
The Workflow
Mediated Deposit Workflow

1. Author contact
2. Permission checking
3. Manuscript preparation
4. Upload of available manuscripts
5. Update author
6. Remaining uploads and Final update
Author contact

- First conversation with faculty member
- Request a signed Mediated Deposit agreement form
- Request faculty CV or list of citations
Permission checking

- Import citation information into a Master file for internal record keeping
- Use citation information to identify the manuscript’s publisher
  - Start with Sherpa/Romeo
  - Double check with publisher’s website
- Record publisher requirements, including embargo period, publisher statement, and Creative Commons licensing
- Identify which manuscript version can be used
- Contact publisher to clarify uncertainties
Permission checking - Master file
Permission checking - Paper versions

There are 3 manuscript versions involved in the publishing process:

- **Pre-print/Submitted manuscript**
  - First draft submitted by an author to a journal
  - Not yet peer-reviewed
  - Does not bear publisher markings, type-setting, or copy-editing

- **Post-print/Accepted manuscript**
  - Peer-reviewed version with revisions made by the author
  - Does not bear publisher markings, type-setting, or copy-editing

- **Published version/Publisher’s PDF**
  - Final paper version released by the publisher
  - Includes peer-review, publisher markings, type-setting and copy-editing
Manuscript preparation

- Create cover sheet containing item and publisher information
- Attach cover sheet to manuscript
- Rename files following best practises in naming conventions
Upload of available manuscripts

Example of a TSpace record for an uploaded post-print manuscript.
Update author

• Contact author with an update on permission checking status
  
• Notify about uploaded publications
  » Provide items’ URI/URLs for access and review

• Request copies of post-print manuscripts

• Improvements to this stage will be addressed in *Future Plans*
Remaining uploads and Final update

• Preparation and upload of additional manuscripts provided by author

• Final author update and invitation for future work
Service Impact
Impact - Quantitative Data

- 950+ Citations checked
- 400+ Manuscripts uploaded
- 45 Faculty helped
- 28 Departments
Impact - Faculty Feedback

“Thanks so much for your help in uploading all [our] papers – it’s a tremendous help and we really appreciate it very much!”

• Anonymous faculty member

“[I am] really glad to have this service!”

• Anonymous faculty member
Future Plans
Future Plans - Incorporating New Tools

- Incorporate tools that help locate and retrieve post-print manuscripts by legally bypassing paywall restrictions
  - This will help alleviate the amount of time faculty are required to dedicate to the service
  - Eg. the [Open Access Button](#) and the [Unpaywall Google Chrome Extension](#)
Future Plans - Automating the Process

• Automate parts of the process to increase efficiency in service delivery

• We are currently looking into developing algorithms that will:
  • Automate content ingestion into the Master File Spreadsheet
  • Check publisher self-archiving policies in Sherpa/Romeo
  • Locate post-print manuscripts

• Content ingestion into TSpace is currently semi-automated with item metadata lookup and webform pre-fill via identifier search
Useful links and resources

- Tri-Agency OA Policy on Publications
- UTL Tri-Agency Open Access Policy page
- SHERPA/RoMEO database of publishers’ self-archiving permissions
- UTL/TSpace Self-archiving permission checking video tutorial
- SPARC Canada Author Addendum to help retain some author rights
- TSpace, U of T’s Research Repository
- TSpace Information and User Guides collection
- Directory of Open Access Journals (DOAJ)
- CARL’s list of Canadian institutional repositories and adoptive repositories
- UTL’s Scholarly Communications and Copyright Office
- Open Access Button
- Unpaywall Google Chrome Extension
Thank you!

QUESTIONS?

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