

Getting an Open Access Policy on the Menu: Expanding Support for Policy Adoption Through Campus Collaboration

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NUTRITION INFORMATION

When it comes to open access (OA) policies, faculty are often the most important ingredient. In fact, 88 percent of campus OA policies are ultimately adopted by a faculty governance body (Fruin et al., 2016). But there are a lot of important roles to play in the kitchen when preparing OA policy initiatives, such as those played by librarians and graduate students. At the University of Colorado Boulder (CU Boulder), OA policy adoption was a grassroots effort that began with collaboration between librarians and graduate student government groups. These two groups were effective partners in a common goal of adopting a campus OA policy because each brought important stakeholder interests to the initiative.

The librarians at CU Boulder working on the OA policy brought expertise about OA publishing as well as experience in advocacy and valuable institutional knowledge. The graduate students at CU Boulder brought an interest in scholarly communication and OA as early career researchers as well as a mechanism for engaging the campus community through the graduate student government legislative process. After several years of col-

laboration and gradually brewing support, CU Boulder formally put OA on the menu on April 22, 2015. The following recipe yields collaboration between key campus stakeholders around open access advocacy and a grassroots effort to advance support for an institutional open access policy.

LEARNING OUTCOMES/PROJECT OUTCOMES

- Identify campus stakeholder communities for OA policy advocacy.
- Build grassroots support for OA at the campus level.
- Understand common pain points and how to avoid them in the OA policy-making process.

NUMBER SERVED

All faculty on campus potentially benefit from an OA policy through increased sharing and dissemination of their work, but this could also include graduate students if they are included in the language of the policy. Librarians benefit from cross-campus collaborations and connections built through policy-making. The world benefits from increased sharing of OA research outputs.

COOKING TIME

An OA policy initiative is more of a slow cooker recipe. Plan on at least 1–2 years from the start of the initiative for an OA policy and any associated infrastructure to be in place. Typically, you will need at least a year to develop the policy language, engage stakeholders, and build support for the policy. Another year or more will then be required to move the policy through the appropriate faculty governance committees, legal review processes, and administrative approvals. If repository infrastructure development or procurement is needed, that can be done in parallel or sequentially. Allow for another 1–2 years if done sequentially. Cooking times may vary. Let it simmer and be patient—it's worth the wait!

DIETARY GUIDELINES

The CU Boulder Open Access Policy solidified formal campus support for OA that can be further leveraged through infrastructure, workflows, and initiatives. For example, the policy benefits from and provides content for the university's institutional repository CU Scholar. Additional collaborations have also resulted from the OA policy, such as with Faculty Information Systems that oversees

faculty reporting infrastructure. This recipe provides suggestions for cross-campus collaborations that can help to build grassroots support for OA across the institution and foster new connections for education and outreach.

A campus-wide OA policy can also provide justification and momentum for further OA infrastructure and support, such as an institutional repository or workflows that educate faculty and encourage them to participate in the policy. Further information about how the OA policy can enable continuing collaboration is detailed in the paper “Collaborating Across Campus to Advance Open Access Policy Compliance” (<https://digitalcommons.du.edu/collaborativelibrarianship/vol11/iss3/7/>).

INGREDIENTS & EQUIPMENT

- An expert or group of experts on OA policies (expertise can be developed in-house if needed)
- Campus champions for OA (particularly those involved with faculty or other governance groups)
- Enough passion for OA and patience to sustain a long and arduous process
- An institutional repository (or a plan for developing/procuring one)

PREPARATION

It may be difficult to jump right into a discussion of an OA policy without assessing and building general support for OA across campus. Libraries can take steps to initiate these

early conversations by forming internal committees or working groups. At CU Boulder, the Scholarly Communication Working Group (SCWG) did most of this foundational work. These groups can host events (e.g., as part of Open Access Week), serve as a point of contact for conversations and collaborations with others on campus (e.g., graduate students at CU Boulder), and develop other initiatives to raise awareness of OA. Once a groundswell of support for OA has been developed, it’s time to start cooking the OA policy.

COOKING METHOD

- 1. Build support for OA by drafting a resolution** (approximately 9 months). This resolution may start within the libraries or can be developed collaboratively with another campus stakeholder group that you have identified. At CU Boulder, members of the United Government of Graduate Students (UGGS) collaborated with the SCWG to draft and then pass a resolution in support of OA. The resolution should outline several ways the campus can help to make research more openly available. As an example, the CU Boulder resolution called for the following:
 - The University Libraries provide education and information on open access for the faculty through their departments and professional associations.
 - The University Libraries continue the development of an open access repository, providing advice, technical assistance, and electronic “tools”

to help faculty with copyright and publishing questions concerning the use of this repository.

- The CU Boulder faculty and graduate students become familiar with the business practices of journals and publishers in their disciplines and consider submitting their work to publishers who offer open access.
- The CU Boulder faculty and graduate students support open access publications in their service as editors, on editorial boards, and in article review.
- The CU Boulder faculty and graduate students negotiate with their publishers when possible for the right to make versions of their publications available via an open access repository.

As your OA policy initiative progresses, it will be important to either be familiar with the campus governance processes or to partner with another group that already has a voice in legislative bodies on campus. UGGS members at CU Boulder were able to leverage their regular attendance at the representative faculty governance body on campus, the Boulder Faculty Assembly (BFA), to pass an Open Access faculty resolution on March 7, 2013.

- 2. Use other events and educational opportunities on campus to continue to build and advance support for OA** (ongoing). After an initial success in generating formal support, it’s important to keep building momentum and awareness. For example, following the faculty resolution on OA, the CU Boulder Libraries and UGGS

continued to collaborate on Open Access Week events. Expanding educational opportunities as much as possible is the key to elevating these efforts to the next level. Whatever you do, don't turn the heat off!

3. Leverage this momentum for further resolutions and localized policies (approximately 3 months). Additional resolutions and policies of solidarity will help to demonstrate continued and growing interest in OA. For example, the SCWG and UGGS developed a second resolution that directly called for a campus OA policy for faculty publications, which was passed by UGGS and the larger campus student governance body, University of Colorado Student Government. Building on the momentum for these resolutions with the ultimate goal of creating an OA policy for the entire campus, the SCWG drafted language for a libraries' faculty policy. The argument for supporting graduate student voices was an important factor that helped this library's policy to pass. If your library is unwilling to adopt an OA policy, it is possible you may need to go back to Step 2 or continue to work on finding other collaborators and stakeholders across campus. If your library already has an OA policy at this stage, consider leveraging connections with other departments across campus who are OA champions and may be willing to formally voice their support.

4. Use resolutions and any department-level policies to build support and draft language for a campus-wide policy (ap-

proximately 18 months). While the policy is under review by your faculty governing body, consider providing open information sessions and fact sheets to further educate faculty across campus about the policy. Whenever you think you've added enough education and outreach, sprinkle in a little more! Also, understand the strengths of the stakeholder groups involved in this effort and use them to your advantage. At CU Boulder, graduate students often took the lead in communicating about the policy and bringing it to multiple faculty committees to discuss. This was effective in ensuring that student voices and concerns were centered in discussions of advancing OA on campus. The libraries played a supporting role by providing more technical expertise about OA policies. Faculty governance at CU Boulder passed the campus-wide OA policy on October 2, 2014, and it was approved as an official administrative policy on April 22, 2015.

ALLERGY WARNING

Challenging and potentially hostile interactions may occur. Regardless of how common OA policies are nowadays, you may still hear any number of objections, misconceptions, and conspiracy theories as you introduce the policy to various stakeholders. Inoculating yourself to the common objections and misconceptions around OA policies (<https://sparcopen.org/our-work/campus-open-access-policies/considering-a-policy/>) in preparation for these conversations can help, but

be prepared for unexpected, outlandish, and sometimes angry comments and questions from (mostly) faculty along the way. If such a reaction occurs, remain calm and remind faculty of the opt-out clause.

CLEAN-UP

Congratulations! You've successfully cooked up an OA policy. Now, it's time to implement it! If your policy does not name who will be responsible for overseeing implementation, then this would be a good time to identify that entity. There are many approaches to OA policy implementation, so this is also a good time to investigate what option(s) might work best for your campus.

CHEF'S NOTES

Every campus is different in terms of governance processes, disciplinary considerations, and where enthusiasm for OA might exist. Take all of these factors into account when identifying stakeholders and plans for building support for the OA policy. Also, as noted, this can be a slow cooking process, so you may need to recruit new collaborators as people sometimes depart institutions mid-stream. This was particularly relevant at CU Boulder, given our collaborations with graduate students who are only on campus for a limited number of years.

ADDITIONAL RESOURCES

Cantrell, M., & Johnson, A., 2018. Engaged citizenship through campus-level democratic processes: A librarian and graduate student collaboration on

open access policy adoption. *Journal of Librarianship and Scholarly Communication*, 6(2), p.eP2229. Retrieved from <http://doi.org/10.7710/2162-3309.2229>

Fruin, C., & Sutton, S. (2016). Strategies for success: Open access policies at North American educational institutions. *College & Research Libraries*, 77(4), 469–499. Retrieved from <https://doi.org/10.5860/crl.77.4.469>

Johnson, A., Cantrell, M., & Caillet, R. (2019). Collaborating across campus to advance open access policy compliance.

Collaborative Librarianship, 11(3). Available at <https://digitalcommons.du.edu/collaborativelibrarianship/vol11/iss3/7>

Links

Campus Open Access Policy (University of Colorado Boulder). <https://www.colorado.edu/policies/campus-open-access-policy>

Good Practices for University Open Access Policies (Harvard University). https://cyber.harvard.edu/hoap/Good_practices_for_university_open-access_policies

If You Are Considering a Campus Open Access Policy (SPARC). <https://sparcopen.org/our-work/campus-open-access-policies/considering-a-policy/>

UGGS Resolution to Provide Open Access to Research and Scholarly Information (University of Colorado Boulder). https://www.colorado.edu/libraries/sites/default/files/attached-files/bfa_uggs_open_access_resolution_final.pdf