

Trinity University Open Access Policy statement:

Recognizing that the widespread dissemination of scholarly works is fundamental to the mission of the Academy, the faculty of Trinity University adopts the following policy:

Each Faculty member grants to the President and Board of Trustees of Trinity University limited use of his or her scholarly articles. An article is defined here as a scholarly work published in a journal or as an independent chapter of a multi-authored book. The permission granted by each Faculty member is a nonexclusive, irrevocable, paid-up, worldwide license to exercise any and all rights under United States copyright law relating to each of his or her scholarly articles, in any medium, and to authorize others to do the same, provided that the articles are not sold. The policy applies to all scholarly articles written while the person is a member of the Faculty except for any articles completed before the adoption of this policy and any articles for which the Faculty member entered into an incompatible licensing or assignment agreement before the adoption of this policy. Furthermore, the policy applies only to works for which the author does not retain full copyright. Faculty members are allowed to opt out of this policy for any reason. The Open Access Faculty Committee will establish an online form for faculty members to register this choice.

While faculty members are encouraged to publish their scholarly work in the most prestigious journals, when Open Access journals of equal quality are available, faculty members should give strong consideration to them. Faculty members are also encouraged to explore opportunities to retain copyright of their works regardless of the ultimate publication venue.

Each Faculty member will provide an electronic copy of the final author's version of the article, through a website established for this purpose, at no charge to the Open Access Faculty Committee. The Open Access Faculty Committee may make the article available to the public in an open-access repository, on either a locally-hosted or a collaboratively-hosted repository. Each article will be embargoed until it has appeared either in print or on-line at the publisher's web site, whichever comes first.

The Open Access Faculty Committee will be a standing university committee, appointed by the President with the assistance of the Faculty Senate. The Open Access Faculty Committee will be responsible for implementing and interpreting this policy, resolving disputes concerning its interpretation and application, and recommending changes to the Faculty from time to time. The policy will be reviewed after three years and a report presented to the Faculty.

Rationale:

The role of university scholarship is to add to the public knowledge base for the benefit of society as a whole. The continuing increase in journal subscription prices, by both for-profit and society publishers, has placed severe pressure on libraries' abilities to provide access to the literature for their constituents. This has generally led to an ever-growing list of journal cancellations, an increasing reliance on inter-library loan, and a consequent delay (or outright inability) to access needed information. The goal of world-wide dissemination of scholarly work is receding. This is a remarkable situation in light of the development of electronic publication through the Internet.

An alternative publication model has emerged whose goal is to attain barrier-free access to scholarly work. The Open Access (OA) model eliminates any and all access fees for readers of journals. Since publication, regardless of the medium, entails some costs, two general models for OA revenue generation have emerged. The more widely used model involves the author subsidizing the cost of publication. These publication fees run from about \$500 to upwards of \$3500 per article, depending on the journal and discipline. The second model operates under a grant from a charitable organization.

A nascent third approach to publication is emerging: institutional repositories (IR). Institutional repositories are open access collections of the scholarly output of a single institution or collection of institutions. These repositories make scholarly works available at no fee and the operational costs are borne by the institution.

The Faculty of Arts and Sciences and the Faculty of the Law School at Harvard University adopted a policy to facilitate changes in the way scholarly publications are disseminated. The policy requires each faculty member to grant Harvard University the right to distribute their work at no cost. The intent is for Harvard to construct and maintain an IR to disseminate the work of the Harvard faculty. In the meantime, the Stanford University School of Education, the faculty of the Massachusetts Institute of Technology, and the faculty of the Harvard Kennedy School of Government (among others) have adopted similar open access policies.

The Harvard University policy is a limited grant of privileges. The author can still submit and publish with a commercial or societal publisher, and can even assign the remaining copyright to these publishers. In fact, the Harvard model assumes that normal publication will still occur in tandem with this second distribution method through the IR. Note that this means that all of the benefits of the current publication system remains in place, such as peer review and the role of editors and copy editors. Harvard retains the rights to distribute the final version of the article produced by the faculty member, but not the right to distribute the version created by the publisher.

Our proposal for Trinity University adopts a similar approach. Trinity University faculty will grant the limited right for the University to distribute their articles as long as no charge for access is levied. The intent is for Trinity University to work with other PUIs to establish similar policies and create a collaborative IR or local IR to disseminate our scholarly articles.

Our policy goes a bit further in encouraging the faculty to select OA journals as the recipient of their scholarly articles and to explore opportunities of retaining copyright ownership, granting the publishers only limited publication rights.

It is recognized that some publishers may balk at accepting articles under the conditions of this license. Publishers may perceive the IR as competitive and therefore demand exclusivity, as currently exists with many journals. We do not wish to sacrifice quality for the sake of this ideal and so a Faculty member may opt out of this policy for any reason.

It is hoped that with a growing number of institutions that adopt a similar policy that we might affect a change in publication policy that can produce our goal – that of universal, barrier-free access to all scholarly works. The key approach here is through the use of the copyright: granting the institution the non-commercial copyright allows for the creation of a pressure point with journal publishers.

Publishers were initially required to facilitate the gathering of articles and then their printing, binding and distribution. These activities can now be accomplished with significantly less cost by means of the Internet. By collective action of the Trinity faculty and faculty at other institutions, we can pressure publishers into demonstrating their role in the scholarly publication process. If publishers cannot show the value they add to this process they will disappear. Publishers who can significantly “value-add” to scholarly publishing will survive and thrive within this new model.

Passed by the Trinity University Faculty on October 23, 2009