

AC 11: Open Access to Research

2 points available

Rationale

This credit recognizes institutions that have repository programs and policies in place to facilitate open access to new peer-reviewed research and scholarship. Institutions that empower academics to distribute their scholarly writings freely help stimulate learning and innovation, and facilitate the translation of this knowledge into public benefits that advance sustainability.

Applicability

This credit applies to all institutions where research is considered in employee promotion or tenure decisions. Institutions that do not consider research in promotion or tenure decisions as a matter of policy or standard practice may choose to mark all of the Research credits as Not Applicable. Pursuing one or more Research credits and marking other credits in the subcategory as Not Applicable is not allowed.

Criteria

Institution facilitates *open access* publishing in at least one of the following ways. The institution:

- A. Offers institutional repository hosting that makes versions of journal articles, book chapters, and other peer-reviewed scholarly works by its employees freely available on the public internet. The open access repository may be managed by the institution or the institution may participate in a consortial and/or outsourced open access repository.
- B. Has a published policy that requires its employees to publish scholarly works open access or archive final post-peer reviewed (a.k.a. “author’s accepted manuscript”) versions of scholarly works in an open access repository.

While the policy may allow for publisher embargoes and/or provide a waiver option that allows authors to opt-out of the open access license/program for individual articles, policies and commitments that are strictly voluntary (i.e., opt-in) do not qualify. Likewise, open access policies published by external funding agencies do not qualify in the absence of a formal institutional policy.

- C. Provides an open access article processing charge (APC) fund for employees that includes specified criteria and an application process. Discounts and ad hoc funding for APCs do not qualify in the absence of a formal ongoing program.
- D. Provides open access journal hosting services (directly or through participation in a consortium) through which peer-reviewed open access journals are hosted on local servers with dedicated staff who provide publishing support at no (or minimal) cost.

Policies and programs adopted by entities of which the institution is part (e.g., government or university system) may count for this credit as long as the policies apply to and are followed by the institution.

Scoring

An institution earns the maximum of 2 points available for this credit by facilitating open access publishing in at least three of the ways outlined above. Partial points are available as follows:

Institution:	Points earned
A. Offers institutional open access repository hosting.	0.67
B. Has a published policy that mandates open access publishing.	0.67 (institution-wide policy) 0.33 (less comprehensive policy)
C. Provides an open access article processing charge (APC) fund.	0.67
D. Provides open access journal hosting services.	0.67
Total points earned →	Up to 2

Reporting Fields

Required

- ☐ Does the institution offer repository hosting that makes versions of journal articles, book chapters, and other peer-reviewed scholarly works by its employees freely available on the public internet?
If yes, provide:
 - Website URL where the open access repository is available
 - A brief description of the open access repository
- ☐ Does the institution have a published policy that requires its employees to publish scholarly works open access or archive final post-peer reviewed versions of scholarly works in an open access repository? (Policies that are strictly opt-in do not qualify.)
If yes:
 - The institution's open access policy (text or upload)
 - Does the policy cover the entire institution?
- ☐ Does the institution provide an open access article processing charge (APC) fund for employees? (The APC fund includes specified criteria and an application process.)
If yes:
 - A brief description of the open access APC fund
- ☐ Does the institution provide open access journal hosting services (directly or through participation in a consortium) through which peer-reviewed open access journals are hosted on local servers with dedicated staff who provide publishing support at no (or minimal) cost?
If yes, provide:
 - A brief description of the open access journal hosting services

Optional

- Estimated percentage of peer-reviewed scholarly works published annually by the institution's employees that are deposited in a designated open access repository (0-100)
- Website URL where information about the institution's support for open access is available
- Additional documentation to support the submission (upload)
- Data source(s) and notes about the submission
- Contact information for a responsible party (an employee who can respond to questions regarding the data once it is submitted and available to the public)

Measurement

Timeframe

Current policies and programs at the time of submission are eligible for this credit.

Sampling and Data Standards

Not applicable.

Standards and Terms

Open access

Consistent with the Budapest Open Access Initiative, open access is defined as follows:

By "open access" to [peer-reviewed research literature], we mean its free availability on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

An index of existing open access repositories is available at opendoar.org.