

AC 11: Open Access to Research

2 points available

A. Credit Rationale

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

B. Criteria

Institution has a published [open access](#) policy that ensures that versions of future [scholarly articles](#) by faculty and staff are deposited in a designated open access repository.

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.

Open access policies and programs that are strictly voluntary (opt-in) in nature (including open access policies published by external funding agencies) do not earn points unless the institution also provides financial incentives to support faculty members with article processing and other open access publication charges.

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.

The open access repository may be managed by the institution or the institution may participate in a consortium with a consortial and/or outsourced open access repository.

C. Applicability

This credit applies to all institutions where research is considered in faculty and/or staff 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 either omit or include the Research subcategory. Pursuing one or more Research credits and omitting other credits in the subcategory as “not applicable” is not allowed.

D. Scoring

Institutions earn the maximum of 2 points available for this credit by having an open access policy that meets the criteria above covering the entire campus. Partial points are available if some, but not all, of the institution’s research-producing divisions (e.g., schools, colleges, departments) are covered by an open access policy. For example, an institution with an open access policy covering 2 of its 6 colleges that produce research would earn 1 point (half of the points available for this credit).

E. Reporting Fields

Required

- ☐ How many of the institution's research-producing divisions are covered by a published open access policy that ensures that versions of future scholarly articles are deposited in a designated open access repository? (All, Some, or None/Don't Know)

If the institution has an open access policy:

- ☐ Which of the following best describes the open access policy?
 - Mandatory (or mandatory with a waiver option)
 - Voluntary (strictly opt-in)
- ☐ Does the institution provide financial incentives to support open access publishing, e.g., a publishing fund to support faculty members with article processing and other open access publication charges?
- ☐ A brief description of the open access policy, including the date adopted, any incentives or supports provided, and the repository(ies) used
- ☐ The institution's open access policy (text or upload)
- ☐ The website URL where the open access repository is available

Optional

- ☐ Estimated percentage of scholarly articles published annually by the institution's faculty and staff that are deposited in a designated open access repository (0-100)
- ☐ A brief description of how the institution's library(ies) support open access to research
- ☐ The website URL where information about the programs or initiatives is available
- ☐ Additional documentation to support the submission (upload)
- ☐ Data source(s) and notes about the submission
- ☐ Contact information for a responsible party (a staff member, faculty member, or administrator who can respond to questions regarding the data once it is submitted and available to the public)

F. Measurement

Timeframe

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

Sampling and Data Standards

Not applicable

G. 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.

Scholarly articles

Scholarly articles are peer-reviewed articles covering the fruits of research, e.g., as presented in scholarly journals and conference proceedings.