Frequently Asked Questions about Rice University Open-Access Mandate

Purpose of the Policy

- **What is the purpose of the Rice Open Access Mandate?**
  - The open-access mandate will support the broad dissemination of Rice’s research and scholarly to bring increased recognition to authors and to the institution. The publications will be freely available to anyone, anywhere.

- **What other research universities have open-access mandates?**
  - Numerous institutions, including many US research universities, have adopted open access mandates. Some of Rice’s peers that have adopted open-access mandates include MIT, Duke, Columbia, Harvard, Princeton, University of Virginia, and Emory. A current list of institutions with open access mandates is maintained at [http://roarmap.eprints.org/](http://roarmap.eprints.org/).

- **What is the benefit to me?**
  - Openly sharing your research on the web brings more visibility to your research. Studies have shown that publications that are freely available are cited more often and have greater impact than those that are not freely available. Managing the publications in Rice’s institutional repository means they are centrally available, backed up, preserved, and available to internet search engines such as Google and Google Scholar. Publications from the repository are recognized by Google as scholarly works and therefore tend to rank more highly than publications simply available on a web page.

Complying with the policy

- **How do I comply with the policy?**
  - The policy automatically gives Rice a non-exclusive right to distribute the works, unless an opt-out waiver has been signed (see Opting Out below). When signing publishing agreements, you should let the publisher know that the agreement is subject to prior license agreement with Rice University.

- **What if I cannot publish my work with a publisher because of this policy?**
  - You have multiple options in this situation. You can talk with the publisher, or ask the library to talk to them, to try to persuade them to accept Rice’s non-exclusive license in order to be able to publish your article. Another is to find an alternative publisher that will accept the license. A list of journals and their open access policies can be found at [http://tinyurl.com/7p8lckf](http://tinyurl.com/7p8lckf). A third option is to consult with the Library or the Office of General Counsel about taking steps to address
the publisher’s specific concerns. A fourth option is to obtain a waiver for the article under the policy (see more below under Opting Out).

- **My publisher has a policy to allow the publication to be available in an open-access repository 6 or 12 months after publication. How is that handled?**
  - The library can work with you in these instances to place an embargo on the publication when it is submitted to the repository. During the length of time required by the embargo, the publication will be archived in the repository, backed up and preserved, but not made available to users until the embargo has expired. Please contact cds@rice.edu to inform us of the publisher and their requirements.

- **How do I submit my publication to the institutional repository?**
  - As soon as the paper is published, upload a copy of the final peer-reviewed manuscript either directly into the repository (http://scholarship.rice.edu) or email a copy to cds@rice.edu and the library will upload it for you. You will need an account to upload yourself, but this is a simple process. At the home page of the repository, simply select “register” under My Account to request and account, then email cds@rice.edu to request appropriate permissions.

- **Who is responsible for the implementation of the policy?**
  - The library is working on an implementation plan that will provide the services needed to support faculty compliance. The goal is to increase your visibility so you receive more recognition for your research, not to create an additional burden. This plan will be developed with full consultation with faculty to ensure it meets their needs.

- **Will someone be depositing all of my publications to the repository?**
  - The library will provide support for submitting publications to the repository. When a publication has been submitted, the author will receive an email notification of the deposit.

- **I already submit my publications to another open-access repository. Do I still need to submit them to Rice?**
  - You will still need to submit it to Rice’s institutional repository as well, but please include the doi, handle and/or other citation information so it can be included in the metadata record for the Rice entry.

- **My department/lab maintains its own publication database with our publications. Is that sufficient for complying with the policy?**
  - The publications also need to go into the institutional repository where they will be backed up and preserved for the long term. The library will gladly work with you on getting the publications uploaded to the repository without having to manually enter them one by one. This process can be automated; we just need to work with you to do it. Contact cds@rice.edu if you want to transfer publications from an existing Rice database.
Scope Of The Policy

- **What about books and other text publications besides articles?**
  - Books are and are not different from articles for a number of reasons. An advantage to having a book in the open-access repository is that it will be available to more people around the world. For books that go out of print, having it in the repository will keep it circulating much longer. Most academic authors do not make much money on their books, so being more widely visible can have a greater impact. If, however, the agreement with the publisher does not permit open-access archiving or copyrighted materials included in the book preclude it from being made available under open access, you should seek an opt-out waiver. The same is true of other unique forms of publication (e.g. white papers, technical reports, etc.).

- **What about movies, documentaries, oral histories, etc. that I publish?**
  - Just as with books, multimedia publications can have many advantages to being included in the repository. The repository can manage multimedia files in addition to text works. As with books, should it not be possible to obtain permission to include these as open access works, you should seek an opt-out waiver.

- **What version of the publication needs to be submitted to comply with this policy?**
  - The author’s final peer-reviewed version of the article should be submitted. Some publishers may prefer that the copy-edited, formatted version be submitted while others will only allow the final peer-reviewed manuscript prior to copy-editing and formatting to be made available under open access. This decision should follow the original publisher’s guidelines.

- **I’m a co-author on a paper and the other authors are from different institutions; do I still need to submit it to the repository?**
  - Yes. Each co-author of an article holds copyright in the article and, individually, can grant Rice a non-exclusive license.

- **Does the policy apply to publications I’ve written before this policy was in place?**
  - No. Publications or publishing agreements that were signed prior to the adoption of this policy do not need to comply with the policy. Authors may, however, include their past publications in the repository if the publishers do not forbid their doing so.

Opting Out (Obtaining a Waiver)

- **Why is there an “opt-out” option?**
  - The overall objective of the open access policy is to make your research more visible and to acknowledge the work you have done at a broader level than can be achieved with costly subscription-only or
for-purchase publishing. We recognize, however, that there may
sometimes be other considerations where those interests would not
necessarily be advanced through this policy. Sometimes the inclusion
of copyrighted materials in the work will preclude its open-access
dissemination. It could be that the work is likely to be very profitable
for the author through commercial outlets. Recognizing that there are
legitimate exceptions, an opt-out waiver option has been included as
part of the policy.

- **How do I opt out?**
  - The Provost or Provost’s designate will waive application of the policy
    for a particular publication upon written notification by the author,
    who informs Rice of the reason. You can request a waiver by
    contacting tbd.

- **What if I sign over the rights to a publisher without opting out?**
  - Rice’s license is still valid since it was in effect prior to your signing
    the publisher’s agreement. If the publisher refuses to allow the article
to be published in light of the Rice policy, you can discuss the matter
    with the library, talk with Rice’s Office of General Counsel, or request
    an opt-out waiver for the publication. We recognize that you have the
    right to publish with the journals you regard as most advantageous to
    your field of study.

- **I submitted my publication to the repository, but now need to remove
  it. What do I do?**
  - The library will work with you to understand the need for removing
    the publication from the repository. If the reason involves a legal
    dispute, we will work with you and the publisher on the specifics to
    ensure both your and Rice’s rights are safeguarded.

### Legal Aspects

- **Is Rice taking the copyright to my publication?**
  - No. You retain the copyright for your publications. If you assign
    copyright to a publisher, Rice’s policy is still enforceable since it was
    already in effect prior to your signing over your copyright.

- **Who do I go to for any legal issues that arise with making my work
  openly available?**
  - The library staff is happy to consult with you about copyright issues,
    but Rice’s Office of the General Counsel will provide any legal
    guidance you may need.

- **My publication includes images that I received permission to use in my
  publication on a limited basis. Won’t this violate that agreement?**
  - The library will work with the publishers and copyright owners to
    clear the rights so that the work can legally be deposited as an open
    access publication. If this is not possible, an-opt out waiver can be
    requested by the author.
What Will Be Done With the Articles?

- **What does Rice do with the publications?**
  - Rice’s institutional repository, the Rice Digital Scholarship Archive, is managed in Fondren library, with a commitment to continue its operation as an open-access repository. The publications under this policy will reside in the repository long term, where they will be backed up and preserved. Contents of the repository are made available to Internet search engines including Google, Google Scholar and OAIster. Rice is committed to maintain the repository’s availability, longevity, and functionality, to the extent technologically feasible.

- **Can I sell my publication?**
  - This policy does not prevent you, as the copyright holder, from doing what you wish with the publication including selling it. However, under Rice’s license to the work, it will continue to be available as an open-access publication, free to those who access it from Rice’s website.

- **Can other people use my published work?**
  - Others can use the published work within the bounds of the copyright. You must receive attribution for any citations or use of the work and anyone using it must have permission to do so within the copyright guidelines assigned to the work.

Impact of Policy on Scholarly Publishing

- **What about peer review?**
  - Publications go through the normal peer review process prior to their being deposited in the institutional repository. Just because the work is available as an open-access publication does not mean it has not gone through peer review. The publisher’s standard peer-review mechanism is used and the final post-peer reviewed copy of the manuscript is the version deposited in the institutional repository, unless the publisher prefers that you deposit the copy-edited, formatted version as published by the publisher.

- **Will I hurt my chances of promotion and tenure by complying with this mandate?**
  - No. Many publishers allow authors to deposit their publications in the author’s institutional repository. If a publisher refuses to permit this and publishing with that publisher is critical for a faculty member’s tenure consideration, an opt-out waiver can be pursued.

- **How will people cite my work if it is published in more than one place?**
  - Citations should generally be to the original publication. A link to the open-access version may also be included. At the time the publication is deposited into the institutional repository, the original citation
and/or identifier is included in the metadata record for that work so it can be properly cited.

More Information

See the Rice Digital Scholarship Archive FAQ (http://tinyurl.com/33cjyz) for more information about the institutional repository.