

Minutes

**COMMISSION ON RESEARCH**

April 10, 2019

130 Burruss Conference Room

3:30pm-5:00pm

COR Documents available to COR members in Team Drive: [COR FY2018-2019](#)

**Attended:**

Members: Virginia Pannabecker, Jane Maltby, Stefan Duma, Rajaram Bhagavathula, Elizabeth Grant, Lijuan Yuan, Nick Brown, Deborah Milly, Steve Nagle, Kevin McGuire, Maria Elisa Christie, Randy Heflin (for Sally Morton), Ken Miller, Saied Mostaghimi, Liwu Li (for John Phillips)

OVPRI: Laurel Miner, Diane Zielinski

Presenters: Open Access Policy draft: Philip Young, Institutional Repository Manager, VTechWorks, University Libraries

Guests: Peggy Layne

- I. Approval of the Agenda
  - A. Amended and approved - S. Duma motioned; R. Heflin seconded
- II. Approval of March Minutes
  - A. Approved via email
- III. Announcements
  - A. New Dates for COR next year
  - B. OVPRI Announcement Sent by Diane Zielinski: Spring Discussion Series first event -- April 25<sup>th</sup>, 3 – 4:30 pm, Kelly Hall, room 310: Research and Innovation at Virginia Tech: Dr. Theresa Mayer, Vice President for Research and Innovation, will answer your questions about the state of Virginia Tech's research enterprise. Through a portfolio of administrative, service, investment, and execution capabilities, personnel and facilities, the Office of the Vice President for Research and Innovation (OVPRI) bolsters this research enterprise through services and support that help faculty, staff, and students plan, perform, and commercialize groundbreaking research. OVPRI provides strategic leadership for Virginia Tech's research endeavors at a national, state, and local level.
- IV. [4:05] Unfinished Business

A. [20 min] Report of Ongoing Activities

1. Committee on Research Competitiveness – S. Duma

- a) Thank you to all the CRC Committee members for their work on this report: Benjamin Corl, Stefan Duma (Chair), Barry Miller, Kurt Zimmerman
- b) This is an extensive report, with methods and conclusions; please share comments over the next 4 weeks - report is available in the COR team drive
- c) Introduction: Institutions have a wide variety of organizational structures, strategies, and processes related to research and educational initiatives all primarily oriented towards the quest for securing external funding. The goals of this research group were to address two major questions: 1) How are institutions improving their competitiveness (structures, strategies, processes) for government grants and 2) increasing support for alternative sources of funding (foundations, corporate relations, partnerships, etc.).
- d) Methods: To address the above questions the team utilized the following four strategies: 1) Benchmark list: The 2016 NSF Higher Education Research & Development (HERD) report was used to choose schools ranked in the top 25 (Appendix A). 2) Benchmark via review of institutional web pages 3) Benchmark via interviews: Phone interviews were conducted of selected schools (see Table 1, interview questions in Appendix C) 4) Utilize Georgia Tech report on Interdisciplinary Research Institutes (IRIs)
- e) Comments / Questions
  - (1) Comment: on what other institutions are providing in extra funding via endowments to help when funding flags in a certain area
  - (2) Comment on graduate students roles in research and funding
  - (3) Question: is there a master list via OVPRI or other of all VT Centers and Institutes? Number noted in report seems low. Answer: The published list on the OVPRI website is 8 institutes, 31 centers
  - (4) Most institutions surveyed felt that if people want to have a center as a valuable external identity, don't stand in their way, but reviewing these centers / institutes is much more difficult
  - (5) Question: Are there action items the committee would like to include? Answer: One is to keep doing what we're doing; we're doing similar things, challenges we have are similar; there are some action items we could put forward,

like having more support for large proposals (bringing in external consultants), more training for associate professor level since most university training is for assistant level (comment: some colleges / depts provide this, but action item could be: if this were provided at the university level what would the impact be?)

(a) Committee will format the conclusions a little differently to provide some concrete action items

(6) Q: Did cost share and matching funds come up in data collection for the report? For example, it is very difficult to come up with matching funds for proposals that are in the millions.

(7) Comment: another major point that may affect research competitiveness is the bottom line for start ups for faculty; a related survey of peers was conducted by College of Science recently.

(8) Recommendation for committee work next year: research startup funds for new faculty

2. University Library Committee – V. Pannabecker

a) University Libraries is developing options for providing services in the NCR area for the Innovation Campus

3. Faculty Senate -- B. Vogelaar or B. Britt

a) No report

4. Update to Policy 13005 – A. Michaels

a) See Old Business

5. Open Access Policy update – K. McGuire

a) See New Business

6. Public Access to Research Data Committee -- E. Grant / R. Baghavathula

a) Planning four deliverables:

(1) A report of services and support available to researchers in sharing their data, including examples of datasets that have been shared by VT researchers.

(2) A review of relevant policies at Virginia Tech that govern researchers' ability to share their data.

(3) A review of Data Management Plans (DMPs) from active research studies tracked by Office of Sponsored Programs, which considers the feasibility of compliance with submitted DMPs.

(4) A recommendation document addressing how Virginia Tech should move forward to better support researchers in sharing their data

b) Have met two times and completed drafts of the first two deliverables

7. Software review backlogs update - V. Pannabecker

- a) Draft of the charge for a subcommittee has been shared. COR is invited to have a representative on the subcommittee and to weigh in on the charge if desired. First meeting is April 18th.

B. [15 min] OVPRI Update - L. Miner

- 1. This Friday at 3:30 at Steger Hall in main lobby, there will be an open house to meet new senior leaders in OVPRI. This open house is open to anyone, including students.
- 2. In Fall, Theresa mentioned a study of faculty ranks, specifically categories of research faculty; support received by research faculty - the study had many interesting results. One of the things to push forward on is to rethink support for postdocs at Virginia Tech. Looking to better support and talking with Human Resources and others. For example: considering pulling postdocs out of research faculty ranks and categorize them differently. This will need to go through governance. Also looking to alter how postdocs are hired. Right now, the standard process is for postdocs to be hired as regular employees of institution through a search. Areas must go through a search exemption for direct hires. Right now 90% of postdocs are hired via a search exemption for a direct hire, which is time consuming, so we are looking to realign the process to have direct appointment as the default, with a search as an option.

V. [4:40] Old Business

- A. Report on comments received and plan for further revision to Policy 13005, Centers and Institutes: Establishment, Governance and Programmatic Oversight  
-- A. Michaels
  - 1. Comments from COR
    - a) Some areas have too much homogenization: need to keep distinctions between institutes and centers; institutes need to have more accountability.
    - b) Keep minimum standards for review of centers and directors in the policy; need to have expectations

VI. [3:35] New Business

- A. Presentation - Open Access Policy - updated presentation and discussion by Philip Young, Institutional Repository Manager, [VTechWorks](#), University Libraries
  - 1. Noted problems: lack of access by to published research by many communities; authors do not benefit from full dissemination of research; core value of scholarship - to build on past research - is not fully realized; our mission as a global land grant is not being fully realized
  - 2. One solution is a Faculty OA Policy
  - 3. See slides attached at end of minutes for details on policy draft and implementation

#### 4. Questions / Comments

- a) Question: Version uploaded would not be the finalized journal PDF, rather the accepted manuscript version uploaded by the author, but it would be associated with the work on the journal site via the metadata behind the document in VTechWorks, which would include the DOI, journal title, etc. - is that right? Answer: Yes, that's right.
- b) Comment from presenter: VTechWorks is also indexed by UnPayWall and Google Scholar, which raises the visibility of these archived versions and connects them to the journal version
- c) Question: the accepted manuscript is the ugly version - how can I best share this with the images, tables, etc. Answer: suggestion from presenter: consider adding a citation to the published version on a cover page of the archived version and insert any images or tables into the archived version manuscript prior to depositing
- d) Question: What about Legal right? Answer: See the portion of copyright code that allows you to do this for any article, if a faculty OA policy is adopted - this portion of copyright code is cited in the presentation
- e) Question: What about prior works, how does this policy relate? Answer: It will not be retroactive and will not apply to works published prior to policy adoption if adopted.
- f) Question: How will we publicize this externally? Answer: For readers: once in the repository, items will show in Google Scholar, via Unpaywall, etc.
- g) Question regarding policy summary 1 of 2 - 'Requires that we deposit' but you mentioned it's not really enforced? Answer: policy itself says 'faculty will' but doesn't use the word required; view it as expressing our will as wanting to share our research.
- h) Question about citation: if someone finds this document and cites the VTechWorks version and doesn't cite the published version, is that an issue? Does this happen? Answer: Primarily people seem to cite the published version, but understanding what is happening in citation behavior would take further study.
- i) Question: I assume there's a cost in all this? Who incurs that cost if not the authors? Answer: various areas of the university incur the costs - for example, the University Libraries fund the repository support and maintenance, the Provost provides the Elements system and incurs the costs for the platform and support
- j) Comment from COR working group member: please share this with your constituencies, the links in particular, and encourage your constituencies to give feedback.

- k) Comment from presenter: some methods to provide continued outreach about the policy may include soliciting reader feedback via repository; writing an article once a year (via institution news) on how much of institution's research is available as OA, etc.
- l) Comment - CIRED supports this policy: often provides support for international partners via graduate students conducting literature searches and sharing summaries because international partners can't always access a similar range of research.

VII. [4:55] Adjournment

\*Please take note of the following upcoming meetings which will all take place in Burruss 130 from 3:30pm-5:00pm unless otherwise noted:

8 May 2019

\*2019-2020 - Next year's meetings will be:

In Burruss Hall 130, from 3:30-5:00 pm, on the **2nd Thursday of each month** (with a few exceptions to accommodate academic year events or breaks)

2019

Sept. 12

Oct. 10

Nov. 7

Dec. 5

2020

Jan. – no meeting

Feb. 6

March 5

April 9

May 7

# Sharing Our Research: Exploring a Faculty Open Access Policy

Open Access Policy Working Group  
of the  
Commission on Research, Virginia Tech

[bit.ly/vtoapolicy](https://bit.ly/vtoapolicy)

Spring 2019

# About the Working Group

- CoR charged us with drafting a faculty open access policy on Nov. 10, 2016
- Working group:
  - Kevin McGuire (CoR, Forest Resources and Environmental Conservation)
  - Ginny Pannabecker (CoR, Libraries)
  - Cayelan Carey (Biological Sciences)
  - Tom Sanchez (Urban Affairs and Planning (NCR))
  - Philip Young (Libraries)
- Education, outreach, and soliciting feedback
  - Faculty Senate and Commission on Faculty Affairs (2017, 2018, 2019)
  - NLI sessions (17, with 10 more upcoming)
- Plan: present a resolution to CoR in the fall of 2019



## Problem: Access to Research



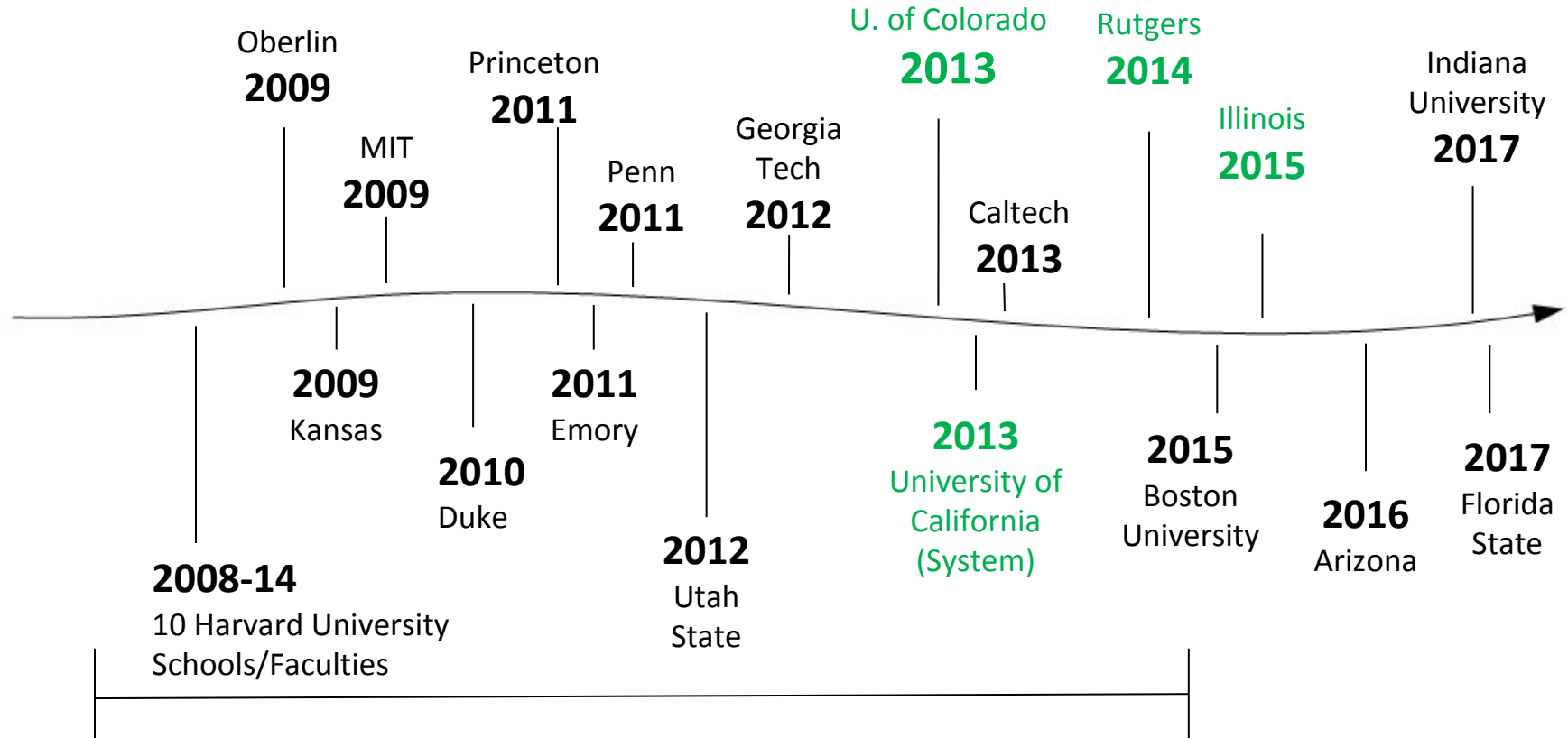
- Access is good at VT, but many lack access:
  - Researchers in developing countries, government policymakers, NGOs, taxpayers, alumni, us
- We aren't benefiting from full dissemination of our work
- A core value of scholarship is not being realized
- The [mission of Virginia Tech](#) is not being realized
  - Global land grant

# One Solution: A Faculty Open Access Policy

- Provides the *legal right* to share accepted manuscripts, even if copyright is transferred
- Simplifies and expands existing rights
- Faculty-initiated and faculty-led
- Pioneered in 2008 at Harvard, now includes ~70 universities, 7 SCHEV peers



# Timeline of Faculty OA Policies



# Policy Impact (1/2)

- May increase citations<sup>1</sup> and broaden impact<sup>2</sup>
  - May address “highly cited” concern at VT<sup>3</sup>
  - Addresses funder & university concern with impact beyond academia (for example NSF, Plan S (international OA requirements))
- Levels playing field with SCHEV & other peers with faculty policies

<sup>1</sup>See <http://sparceurope.org/oaca/> (47/70 studies show advantage);  
<https://doi.org/10.7717/peerj.4375> (18% average increase across disciplines)

<sup>2</sup>See <https://www.altmetric.com/blog/attentionoa/>

<sup>3</sup>See Beyond Boundaries documents (PDF) [1](#), [2](#)

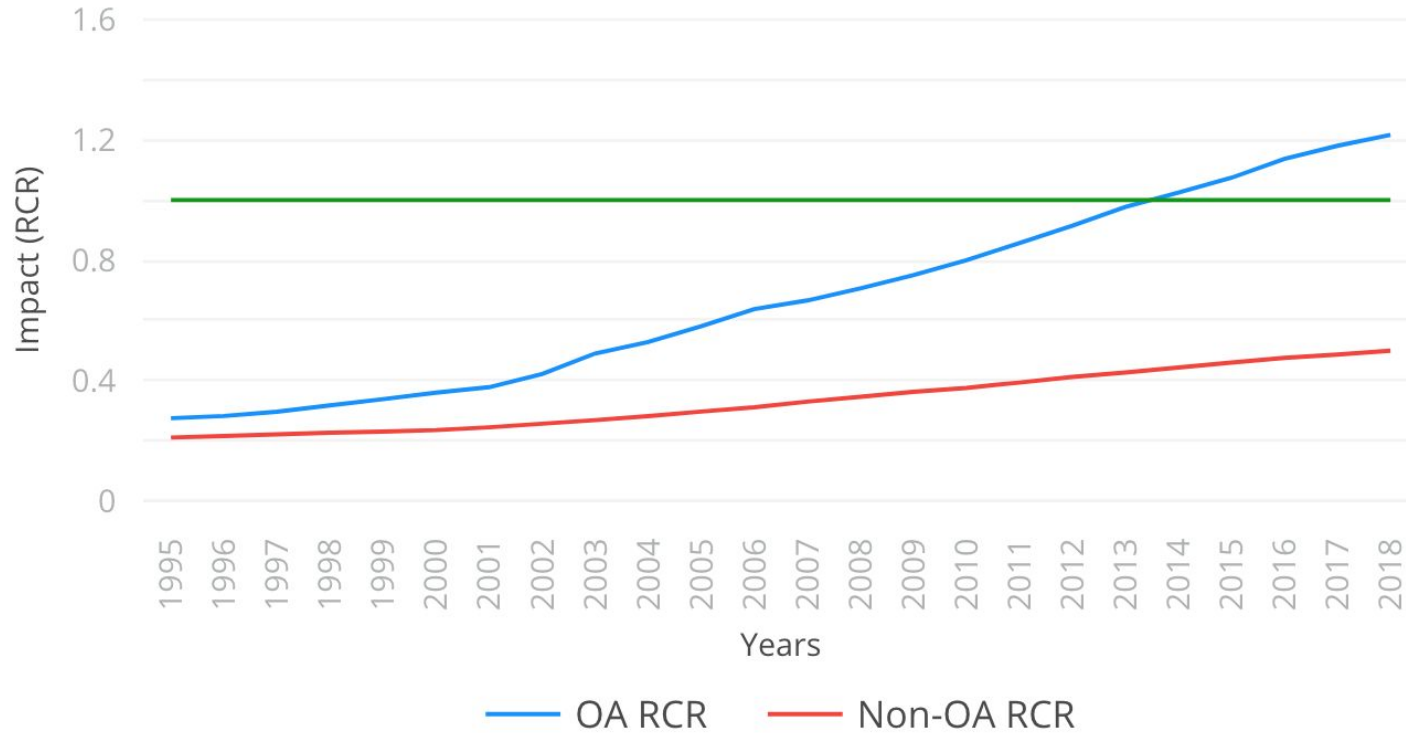
Table 1 Research impact of paywalled (not OA) versus open access (OA) papers

| Field                                      | Paper (n)        | Reference (n)     | not OA (arc) | OA (arc)    | gold (arc)  | green (arc) |
|--|------------------|-------------------|--------------|-------------|-------------|-------------|
| <b>TOTAL</b>                               | <b>3,350,910</b> | <b>34,865,430</b> | <b>0.81</b>  | <b>1.23</b> | <b>1.06</b> | <b>1.28</b> |
| Agriculture, Fisheries & Forestry          | 138,025          | 804,386           | 0.85         | 1.18        | 0.73        | <b>1.35</b> |
| Biology                                    | 151,424          | 1,882,514         | 0.74         | 1.17        | <b>1.33</b> | 1.18        |
| Biomedical Research                        | 291,325          | 5,581,332         | 0.80         | 1.14        | <b>1.16</b> | 1.09        |
| Built Environment & Design                 | 16,648           | 84,825            | 0.83         | 1.28        | 0.79        | <b>1.35</b> |
| Chemistry                                  | 317,930          | 2,432,155         | 0.90         | 1.24        | 0.65        | <b>1.34</b> |
| Clinical Medicine                          | 823,924          | 9,323,440         | 0.81         | <b>1.28</b> | <b>1.25</b> | <b>1.28</b> |
| Communication & Textual Studies            | 28,178           | 37,152            | 0.78         | 1.93        | 0.81        | <b>2.16</b> |
| Earth & Environmental Sciences             | 117,429          | 1,332,707         | 0.82         | 1.16        | 0.82        | <b>1.20</b> |
| Economics & Business                       | 66,037           | 607,155           | 0.65         | 1.25        | 0.67        | <b>1.27</b> |
| Enabling & Strategic Technologies          | 250,651          | 2,404,079         | 0.89         | 1.18        | 0.79        | <b>1.30</b> |
| Engineering                                | 193,856          | 1,029,715         | 0.85         | 1.25        | 0.86        | <b>1.36</b> |
| General Arts, Humanities & Social Sciences | 3,932            | 11,757            | 0.65         | <b>1.69</b> | 0.99        | 1.65        |
| General Science & Technology               | 31,793           | 1,906,904         | 0.93         | 1.10        | 0.84        | <b>1.20</b> |
| Historical Studies                         | 25,468           | 50,016            | 0.80         | 1.58        | 0.68        | <b>1.91</b> |
| Information & Communication Technologies   | 97,786           | 582,010           | 0.72         | 1.23        | 0.98        | <b>1.27</b> |
| Mathematics & Statistics                   | 107,426          | 558,567           | 0.78         | 1.14        | 1.12        | <b>1.22</b> |
| Philosophy & Theology                      | 17,117           | 28,107            | 0.70         | 1.74        | 0.76        | <b>1.98</b> |
| Physics & Astronomy                        | 424,091          | 3,954,894         | 0.75         | 1.27        | 0.92        | <b>1.34</b> |
| Psychology & Cognitive Sciences            | 70,022           | 1,026,674         | 0.69         | <b>1.23</b> | 1.15        | 1.19        |
| Public Health & Health Services            | 85,703           | 804,085           | 0.83         | 1.17        | 1.00        | <b>1.23</b> |
| Social Sciences                            | 86,513           | 421,516           | 0.69         | 1.49        | 0.89        | <b>1.63</b> |
| Visual & Performing Arts                   | 5,632            | 1,440             | 0.83         | 2.19        | 1.17        | <b>2.69</b> |

[Source](#)

Source: Computed by Science-Metrix and 1science using oalndx and the Web of Science

# Impact of OA vs Non-OA Publications



Data for Virginia Tech-affiliated articles ([Source](#); [Relative Citation Ratio](#))

## Policy Impact (2/2)

- Meet funding agency sharing requirements
- Faster, more efficient sharing of research
- Helps us become a global land-grant university



# Policy Summary (1/2)

- Covers scholarly articles (not creative works or books)
- Grants non-exclusive rights to the university -- authors retain copyright
- Provides the legal right to deposit our **accepted manuscript** in **VTechWorks** by the **time of publication**
- Requires that we deposit
- Returns our rights to share publications on other platforms and use in future publications



## Policy Summary (2/2)

- Per-article waiver or embargo at our direction
- Applies to all articles, including co-authored ones
- Not retroactive
- University cannot profit from the articles
- Policy review and report 3 years after passage

# Draft Open Access Policy, Virginia Tech (1/4)

[adapted from the [Harvard University Model OA Policy](#)]

The Faculty of Virginia Polytechnic Institute and State University (Virginia Tech) is committed to disseminating the fruits of its research and scholarship as widely as possible. In keeping with that commitment, the Faculty adopts the following policy:

## Draft Open Access Policy, Virginia Tech (2/4)

Each Faculty member grants to Virginia Tech permission to make available his or her scholarly articles and to exercise the copyright in those articles. More specifically, each Faculty member grants to Virginia Tech a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright relating to each of his or her scholarly articles, in any medium, provided that the articles are not sold for a profit, and to authorize others to do the same.

## Draft Open Access Policy, Virginia Tech (3/4)

The policy applies to all scholarly articles authored or co-authored 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. The Provost or Provost's designate will waive application of the license for a particular article or delay access for a specified period of time upon express direction by a Faculty member.

## Draft Open Access Policy, Virginia Tech (4/4)

Each Faculty member will provide an electronic copy of the author's final version of each article no later than the date of its publication at no charge to the appropriate representative of the Provost's Office in an appropriate format (such as PDF) specified by the Provost's Office. The Provost's Office designates the Virginia Tech Libraries to make the article available to the public in an open access repository, such as the VTechWorks institutional repository.

The Office of the Provost will be responsible for 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.

# Addressing Legal Issues

- 17 U.S.C. § 205(e) (2016) Priority between Conflicting Transfer of Ownership and Nonexclusive License

Eric Priest, [Copyright and the Harvard Open Access Mandate](#), 10 Nw. J. Tech. & Intell. Prop. 377 (2012).

- University Counsel

Comfortable relying on [Policy 13000](#) : “...University rights are limited to free (no cost) use in teaching, research, extension, etc. in perpetuity.” (top of p. 3)

- No university has been challenged in 10+ years
  - A takedown notice would go to VTechWorks, not to faculty

- University actions

- Public announcement/display of policy
- Publishers notified (see [U. of California example](#))

# Deposit option 1: Elements

Menu > Publications >



## 1. Prepare deposit (step 1 of 3)

### Upload a file

Choose a file from your local machine:

**Choose file:**

Browse...

EmptyFile.pdf

**File version:**

Accepted version

**Use this file**

# Deposit option 1: Elements

**2. Add additional information (step 2 of 3)**

I would like to specify an embargo: ☐

I would like to specify a reuse licence: ☐

**3. Complete deposit (step 3 of 3)**

By depositing, you confirm that you agree to the [Virginia Tech University Libraries Distribution License](#) licence.

**Deposit**


## Advantages:

- Metadata already present
- Many faculty are already using Elements
- Faculty are in the system even if they haven't used it yet



# Deposit option 2: VTechWorks

[vtechworks.lib.vt.edu/register](https://vtechworks.lib.vt.edu/register)

 **VIRGINIA  
TECH™**

[🏠 VTechWorks Home](#) / [New user registration](#)

## New user registration

Verify Email

 → 

Create Profile

 → 

Finished


Register an account to subscribe to collections for email updates, and submit new items to VTechWorks.

**Email Address \***

This address will be verified and used as your log in name.

Register

# Deposit option 2: VTechWorks

 VIRGINIA  
TECH™

🏠 VTechWorks Home / College of Liberal Arts and Human Sciences (CLAHS) / Department of History / Faculty Works, Department of History

## Item submission

Describe Describe Upload Review CC License VTUL License Complete

### Describe Item

**Item Type**

Article  
Audio recording  
Book  
Book chapter  
Dataset  
Dissertation

Select the type(s) of content you are depositing. To select more than one value in the list, you may have to hold down the "CTRL" or "Shift" or "COMMAND" key. Examples: Article, Learning Object, Video Recording and Presentation.

**Author(s)/Creator(s)**

Last name, e.g., Kennedy

First name(s) + initial(s), e.g., John F. Jr.

Add

Enter the name(s) of the author(s) or creator(s). Enter each name individually, then click "Add". To use VTechWorks' name lookup function, click "Lookup" and you will be directed to an index of VTechWorks' creator and contributor names. Examples: Faulkner, William; Einstein, Albert; Lovelace, Ada

**Title \***

Enter the title or name of the item. If a title is not provided, create one that appropriately describes the item. Examples: Extended Boolean Information Retrieval, Ossian and the Genres of Culture, Chemistry of Arsenic Removal During Coagulation and Fe-Mn

# Summary

- This is a faculty-initiated and faculty-led effort that expands global research access and benefits us
- The policy will have a legal effect that simplifies and expands our rights
- Provides the legal right to deposit our **accepted manuscript** in **VTechWorks** by the **time of publication**
- States our collective commitment to do so

## Questions?

OA Policy web page: [bit.ly/vtoapolicy](https://bit.ly/vtoapolicy)

Email us: [openaccess@vt.edu](mailto:openaccess@vt.edu)

VTechWorks: [vtechworks.lib.vt.edu](https://vtechworks.lib.vt.edu)

OA Guide: [guides.lib.vt.edu/oa/](https://guides.lib.vt.edu/oa/)